

# **Exhibit 2**

**IN THE UNITED STATES DISTRICT COURT  
FOR THE DISTRICT OF MARYLAND**

AMERICAN FEDERATION OF  
TEACHERS, et al.,

Plaintiffs,

v.

SCOTT BESSENT, et al.,

Defendants.

Case No. 8:25-cv-430-DLB

**CERTIFICATION OF ADMINISTRATIVE RECORD**

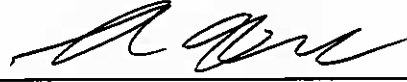
I, Daniel Katz, am currently employed as the Chief of Staff of the U.S. Department of the Treasury. I am familiar with the claims asserted against Treasury in the above-captioned action regarding the granting of access to systems maintained by the Bureau of the Fiscal Service (BFS) to employees implementing Executive Order 14,158.

I hereby certify, to the best of my knowledge, that the accompanying administrative record is complete and contains all non-deliberative documents and materials directly or indirectly considered regarding the Treasury actions challenged in this case.<sup>1</sup> Among these documents and materials, Treasury has duly evaluated all predecisional documents before excluding them from the record.

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<sup>1</sup> Notwithstanding the Court's order to file an administrative record in this case, Defendants maintain that the Amended Complaint does not challenge any final agency action and reserve their right to argue in further proceedings in this case, including in any subsequent appeal, that the Administrative Procedure Act does not provide for review.

In accordance with 28 U.S.C. § 1746, I hereby certify and declare under penalty of perjury that the foregoing is true and correct to the best of my knowledge, information, and belief.

A handwritten signature in black ink, appearing to read 'Daniel Katz', is written above a solid horizontal line.

**Daniel Katz**  
**Chief of Staff**  
**U.S. Department of the Treasury**

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Tab	Beginning Bates Number	Title
<b>Tab 1: Human Resources</b>		
<b>Tab 1A_Krause Delegation of FAS</b>		
1A1	25-cv-00430_DMD_UST_0001	Fiscal Assistant Secretary
1A2	25-cv-00430_DMD_UST_0002	Approved Delegation of Duties of Fiscal Assistant Secretary
<b>Tab 1B_Onboarding</b>		
1B1	25-cv-00430-DMD_UST_0004	Marko Elez SF50
1B2	25-cv-00430_DMD_UST_0006	Expert Consultant Hire Package – Tom Krause
1B3	25-cv-00430-DMD_UST_0014	Expert Consultant Hire Package – Tom Krause Corrected
1B4	25-cv-00430-DMD_UST_0022	Marko Elez Position Description
1B5	25-cv-00430-DMD_UST_0024	Oath
<b>Tab 2: Security Clearance</b>		
<b>Tab 2A_Elez</b>		
2A1	25-cv-00430-DMD_UST_0025	Marko Elez OSP Tracker Records
2A2	25-cv-00430-DMD_UST_0026	Interim Approval Marko Elez
2A3	25-cv-00430-DMD_UST_0027	Interim Approval to EOD
2A4	25-cv-00430-DMD_UST_0028	Prevetting Checklist – Marko Elez
2A5	25-cv-00430-DMD_UST_0030	Rules of Behavior
2A6	25-cv-00430-DMD_UST_0031	Fiscal Service Security RoB Internal
2A7	25-cv-00430-DMD-UST_0033	SF312 Mark Elez
<b>Tab 2B_Krause</b>		
2B1	25-cv-00430-DMD_UST_0039	Final Adjudication Approval
2B2	25-cv-00430-DMD-UST_0040	Tom Krause 4414
2B3	25-cv-00430-DMD_UST_0044	Tom Krause OSP Tracker Records
2B4	25-cv-00430-DMD_UST_0045	Prevetting checklist – Tom Krause
2B5	25-cv-00430-DMD_UST_0050	SF-312 Tom Krause
<b>Tab 3: Engagement Plan</b>		
1	25-cv-00430-DMD_UST_0056	Agenda for BFS Payment Process
2	25-cv-00430-DMD_UST_0057	Fiscal Service Payment Processing Engagement Plan
3	25-cv-00430-DMD_UST_0060	Preliminary Work Plan
<b>Tab 4: BFS Systems Access Request</b>		
1	25-cv-00430-DMD_UST_0061	IT Check In Follow Up
2	25-cv-00430-DMD_UST_0062	Access Request Changes
<b>Tab 5: USAID Payment</b>		
1	25-cv-00430-DMD_UST_0063	Confirmation to Proceed
2	25-cv-00430-DMD_UST_0066	Additional Accounts Identified
<b>Tab 6: SORNs</b>		
1	25-cv-00430-DMD_UST_0069	85 FR 11776

**From:** [Katz, Daniel](#)  
**To:** [Garber, Matthew](#); [Gribben, Timothy E.](#); [Miskell, Renata](#)  
**Cc:** [Krause, Tom](#); [Froman, Eric](#); [Pilkerton, Christopher](#)  
**Subject:** Fiscal Assistant Secretary  
**Date:** Friday, February 7, 2025 8:38:40 AM

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Hi Team-

I wanted to let you know that Secretary Bessent has delegated the duties of the Fiscal Assistant Secretary to Tom Krause. As you know, Tom brings more than 20 years of experience leading, building and positioning software and technology companies for value and long-term success. Mr. Krause previously served as an executive officer of Broadcom Inc., both as Chief Financial Officer and most recently responsible for forming and leading the Broadcom Software Group as President. He began his career in technology with Robertson Stephens and Technology Crossover Ventures followed by business and corporate development leadership roles in the semiconductor industry. Tom is a graduate of Princeton University, where he majored in Economics.

The Secretary is excited about the decades of executive leadership that Tom brings to the role, as well as his deep expertise in building and managing complex organizations across multiple sectors. I know that Tom is very much looking forward to working with all of you and appreciates all of your efforts to advance Treasury's mission. Tom will be in touch with you shortly to share his vision and action plan for the organization.

I want to express thanks and appreciation to Matt for his leadership of the Office of the Fiscal Assistant Secretary over the last two and a half weeks. He will resume his role as Deputy Assistant Secretary for Fiscal Operations & Policy, and will continue to be an essential leader for the Department. I would also appreciate if you could communicate Tom's new duties out to your teams.

Best, Dan



DEPARTMENT OF THE TREASURY  
WASHINGTON, D.C.

February 5, 2025

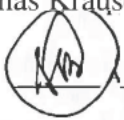
**ACTION MEMORANDUM FOR SECRETARY BESENT**

**FROM:** Brian Sonfield, Acting General Counsel

**SUBJECT:** Proposed Delegation of Duties of Fiscal Assistant Secretary

**RECOMMENDATION:**

That you sign the attached document delegating the duties of the Fiscal Assistant Secretary to Thomas Krause.



Approve

Disapprove

Let's Discuss

**DECISION DEADLINE**

**Date:** ASAP

**Rationale:** Needed to meet administration priorities.

**BACKGROUND**

Delegating the duties of the Fiscal Assistant Secretary position to Thomas Krause will enable him to more effectively undertake his current work assignment.

**ATTACHMENT**

1. Delegation of Authority for Signature.

**Final Document**  
Digitally signed by Final Document  
Date: 2025.02.05 18:02:34 -05'00'  
25-cv-00430\_DMD\_UST\_0002

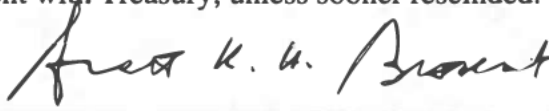


DELEGATION OF AUTHORITY

By virtue of my authorities, including 31 U.S.C. § 321(b) and (c), I hereby delegate all authorities and responsibilities of the Fiscal Assistant Secretary to Thomas Krause, reporting directly to me. This delegation shall remain in effect until a Fiscal Assistant Secretary is appointed or Mr. Krause ends his employment with Treasury, unless sooner rescinded.

2/5/2025

Date



Scott K. H. Bessent

Standard Form 50  
 Rev 7/91  
 U.S. Office of Personnel Management  
 FPM Supp. 296-33, Subch. 4

**NOTIFICATION OF PERSONNEL ACTION**

1. Name (Last, First, Middle) ELEZ, MARKO				2. Social Security Number [REDACTED]				3. Date of Birth [REDACTED]				4. Effective Date 01-21-2025																			
<b>FIRST ACTION</b>								<b>SECOND ACTION</b>																							
5-A. Code 171				5-B. Nature of Action EXC APPT NTE 05/20/25				6-A. Code				6-B. Nature of Action																			
5-C. Code Y9K				5-D. Legal Authority SCH C 213.3302 (A)				6-C. Code				6-D. Legal Authority																			
5-E. Code				5-F. Legal Authority				6-E. Code				6-F. Legal Authority																			
7. FROM: Position Title and Number								15. TO: Position Title and Number SPECIAL ADVISOR (IT&M) 66893097 C00424																							
8. Pay Plan		9. Occ. Code		10. Grade or Level		11. Step or Rate		12. Total Salary .00		13. Pay Basis		16. Pay Plan GS		17. Occ. Code 0301		18. Grade or Level 11		19. Step or Rate 01		20. Total Salary \$84,601.00		21. Pay Basis PA									
12A. Basic Pay .00				12B. Locality Adj. .00				12C. Adj. Basic Pay .00				12D. Other Pay .00				20A. Basic Pay \$63,163.00				20B. Locality Adj. \$21,438.00				20C. Adj. Basic Pay \$84,601.00				20D. Other Pay .00			
14. Name and Location of Position's Organization												22. Name and Location of Position's Organization DEPARTMENTAL OFFICES OFFICE OF THE CHIEF OF STAFF  TR 910300000000000000 PP 01 2025																			
<b>EMPLOYEE DATA</b>																															
23. Veterans Preference 1 - None 2 - 5 Point 3 - 10 Point/Disability 4 - 10 Point/Compensable 5 - 10 Point/Other 6 - 10 Point/Compensable/30%												24. Tenure 0 - None 1 - Permanent 2 - Conditional 3 - Indefinite						25. Agency Use			26. Veterans Preference for RIF YES X NO										
27. FEGLI A0 INELIGIBLE-EXCLUDED BY LAW OR REG												28. Annuitant Indicator 9 NOT APPLICABLE						29. Pay Rate Determinant 0													
30. Retirement Plan [REDACTED]						31. Service Comp. Date (Leave) 01-21-2025						32. Work Schedule F FULL TIME						33. Part-Time Hours Per Biweekly Pay Period													
<b>POSITION DATA</b>																															
34. Position Occupied 2 1 - Competitive Service 2 - Excepted Service 3 - SES General 4 - SES Career Reserved												35. FLSA Category E - Exempt N - Nonexempt E						36. Appropriation Code						37. Bargaining Unit Status 8888							
38. Duty Station Code 11-0010-001												39. Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC																			
40. Agency Data				41.				42.				43.				44.															
45. Remarks INDIVIDUAL APPOINTMENTS UNDER THIS AUTHORITY MAY BE MADE FOR 120 DAYS WITH ONE EXTENSION OF AN ADDITIONAL 120 DAYS. EXCEPTED APPOINTMENT NOT TO EXCEED 05/20/2025. POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND. APPOINTMENT AFFIDAVIT EXECUTED 01/21/2025. REASON FOR TEMPORARY APPOINTMENT: ADMINISTRATIVE NEED. OPF MAINTAINED BY BUREAU OF THE FISCAL SERVICE, 200 THIRD STREET PARKERSBURG, WV 26106. CREDITABLE MILITARY SERVICE: 00YRS. 00MOS. PREVIOUS RETIREMENT COVERAGE: NEVER COVERED.																															
46. Employing Department or Agency DEPARTMENT OF THE TREASURY												50. Signature/Authentication and Title of Approving Official ELECTRONICALLY SIGNED BY: MICHAEL J. WENZLER HUMAN RESOURCES OFFICER																			
47. Agency Code TR 91				48. Personnel Office ID 2731				49. Approval Date 01-23-2025																							

Editions Prior to 7/91 Are Not Usable After 6/30/93  
 NSN 7540-01-333-6236

1 - Employee Copy - Keep for Future Reference

25-cv-00430\_DMD\_UST\_0004

**This is your copy of the official notice of a personnel action. Keep it with your records because it could be used to make employment, pay, and qualifications decisions about you in the future.**

#### The Action

- Blocks 5-B and 6-B describe the personnel action(s) that occurred.
- Blocks 15-22 show the position and organization to which you are assigned.

#### Pay

- When the personnel action is an award or bonus, block 20 shows the amount of that one-time cash payment. When the action is not an award or bonus, block 12 shows your former total annual salary, and block 20 shows your new total annual salary (block 20C plus 20D). The amounts in blocks 12 and 20 do not include any one-time cash payments (such as performance awards and recruitment or relocation bonuses) or payments that may vary from one pay period to the next (such as overtime pay), or other forms of premium pay.
- Block 20A is the scheduled amount for your grade and step, including any special salary rate you receive. It does not include any locality-based pay. This rate of pay serves as the basis for determining your rate of pay upon promotion, change to a lower grade, or reassignment, and is used for pay retention purposes.
- Block 20B is the annual dollar amount of your Interim Geographic Adjustment or, beginning in 1994, your locality-based comparability payment.
- Block 20C is your Adjusted Basic Pay, the total of blocks 20A and 20B. It serves as the basis for computing your retirement benefits, life insurance, premium pay, and severance pay.
- Block 20D is the total dollar amount of any Retention Allowances, Supervisory Differentials, and Staffing Differentials that are listed in the remarks block. These payments are made in the same manner as basic pay, but are not a part of basic pay for any purposes.

#### Block 24 - Tenure

- Identifies the nature of your appointment and is used to determine your rights during a reduction in force (RIF). Tenure groups are explained in more detail in subchapter 26 of FPM Supplement 296-33 and RIF is explained in FPM Supplement 351-1; both should be available for review in your personnel office.

#### Block 26 - Veterans Preference for RIF

- Indicates whether you have preference for reduction-in-force purposes.

#### Block 30 - Retirement Plan

- FICA - Social Security System
- CS - Civil Service Retirement System
- CS-Spec - Civil Service Retirement System for law enforcement and firefighter personnel
- FS - Foreign Service Retirement and Disability System
- FERS - Federal Employees' Retirement System
- FERS Reserve
- FERS Tech - Federal Employees' Retirement System for National Guard Reserve Technicians
- FERS ATC - Federal Employees' Retirement System for Air Traffic Controllers
- FERS Spec - Federal Employees' Retirement System for law enforcement and firefighter personnel
- FSPS - Foreign Service Pension System

- If your appointment entitles you to elect health benefits or life insurance, and you have not been provided materials explaining the programs available and the enrollment forms, contact your personnel specialist.
- Your personnel specialist will also tell you if your position is covered by an agreement between an employee organization (union) and agency. If you are eligible to and elect to join an employee organization, you can elect to have

#### Block 31 - Service Computation Date (Leave)

- Shows when your Federal service began unless you have prior creditable service. If so, this date is constructed to include your total years, months and days of prior creditable civilian and military service.
- Full-time employees with fewer than 3 years of service earn 4 hours of annual leave each pay period; those with 3 or more years but less than 15 years earn 6 hours each pay period; and those with 15 or more years earn 8 hours each pay period
- Your earnings and leave statement or your time and attendance card will show the rate at which you earn leave and your current unused leave balance.

#### Block 32 - Work Schedule

- Your work schedule is established by your supervisor.
- A full-time employee works on a prearranged scheduled tour of duty that is usually 40 hours per week. A part-time employee has a prearranged scheduled tour of duty that is usually between 16 and 32 hours per week. An intermittent employee has no prearranged scheduled tour of duty and works when needed.
- Full-time and part-time employees whose appointments are for 90 days or more are usually eligible to earn annual leave; intermittent employees are not.
- Seasonal employees work on an annually recurring basis for periods of less than 12 months each year; they may have a full-time, a part-time, or an intermittent schedule during their work season.
- On-call employees work during periods of heavy workload and are in pay status for a t least 6 months of each year; they may have either a full-time or a part-time schedule when they are in pay status.

#### Block 33 - Part-time Hours Per Biweekly Pay Period

- Indicates the number of hours a part-time employees is scheduled to work during a two-week pay period.

#### Block 34 - Position Occupied

- Identifies the employment system under which you are serving - the Competitive Service, the Excepted service, or the Senior Executive Service (SES).
- The employment system determines your eligibility to move to other jobs in the Federal service, your rights in disciplinary and adverse actions, and your eligibility for reemployment if you leave Federal service.

#### Block 35 - FLSA Category

- Exempt employees are not covered by the minimum wage and overtime law (the Fair Labor Standards Act); nonexempt employees **are** covered.

#### Block 37 - Bargaining Unit Status

- Identifies a bargaining unit to which you belong; whether or not you are actually a member of a labor organization. Code "7777" indicates you are eligible but not in a bargaining unit; code "8888" indicates you are ineligible for inclusion in a bargaining unit.

#### Blocks 38 and 39 - Duty Station

- Identifies the city, county and state or the overseas location, where you actually work.

### OTHER INFORMATION

- your dues withheld from your salary.
- If you have questions or need more information about your rights and benefits, ask your supervisor or your personnel office.
- Definitions for any coded data in Blocks 1-24, 27-39 and 45-50 may be found in Federal Personnel Manual Supplement 292-1.

**It is your responsibility to read all the information on the front of this notice and tell your personnel office immediately if there is an error in it.**



DEPARTMENT OF THE TREASURY  
DEPARTMENTAL OFFICES  
OFFICE OF HUMAN RESOURCES

**EXPERT and CONSULTANT REQUIRED FORMS CHECKLIST**  
**Appointed under 5 USC 3109, 5 CFR 304 only.**

**Check all attachments included with packet.**

- Request form
- Certification Form
- Financial Disclosure
- Compensation Waiver Form (if unpaid)
- Resume
- Summary of Duties

\* After HR receives the packet from the requesting office, please send the approved packet to Ethics @ [Ethics@treasury.gov](mailto:Ethics@treasury.gov).

**Michael J. Wenzler** Digitally signed by Michael J. Wenzler  
Date: 2025.02.03 14:50:18 -05'00'

Signature of Appointing Authority or Designee

**2/3/2025**

Date



DEPARTMENT OF THE TREASURY  
DEPARTMENTAL OFFICES  
OFFICE OF HUMAN RESOURCES

**EXPERT and CONSULTANT REQUEST FORM**  
**Appointed under 5 USC 3109 only**

1. NAME OF PERSON: <i>(Last, first, middle initial)</i> Krause Jr., Thomas, Harry	2. TOTAL PERIOD FOR WHICH APPOINTMENT IS REQUESTED: <i>(List dates from beginning month/day/year to ending month/day/year)</i> 02/09/2025 - 4/10/2025
3. MAILING ADDRESS [REDACTED]	4. APPROXIMATE NUMBER OF DAYS IN CALENDAR YEAR PERSON IS EXPECTED TO PERFORM SERVICES DURING THIS PERIOD.  60 days
5. TYPE OF APPOINTMENT: <i>(Appointment vs Re-appointment), (Expert vs Consultant), (Full-time, Part-time, Intermittent), Hourly basis vs Daily basis)</i>  Appointment, Consultant, Intermittent, Hourly (Unpaid)	
6A. STATE THE BASE SALARY (EXCLUDING LOCALITY PAY). IF UNPAID, CIRCLE BELOW AND COMPLETE WAIVER ON PAGE 3 OF 3:	
6B. WILL COST OF LIVING ADJUSTMENTS BE AUTHORIZED?	
6C: UNPAID	
7. EXPLAIN IN FULL THE SERVICES TO BE PERFORMED: The Senior Advisor for Technology and Modernization plays a pivotal role in advancing the Treasury's technology infrastructure, financial management systems, and cybersecurity initiatives. This position leads IT modernization efforts by implementing emerging technologies such as AI, blockchain, and cloud computing while ensuring compliance with federal IT policies. Additionally, the advisor oversees the modernization of legacy systems, integrating real-time analytics, automation, and enhanced data-sharing capabilities across agencies. In collaboration with the Chief Information Officer (CIO), they strengthen cybersecurity protocols to protect critical financial systems and mitigate risks. Furthermore, the role fosters public-private partnerships with financial institutions, technology firms, and regulatory agencies to drive innovation in digital payments, blockchain applications, and AI-driven fiscal management, ensuring Treasury's financial operations remain secure, efficient, and technologically advanced.	
7A. EXPLAIN WHAT DUTIES WILL BE ASSIGNED THAT WILL INVOLVE THE PERSON IN THE TRANSACTION OF BUSINESS ON BEHALF OF THE GOVERNMENT WITH ANY PROFIT OR NON-PROFIT ORGANIZATION:  The Senior Advisor for Technology and Modernization will not be assigned any duties that will involve the incumbent in the transaction of business on behalf of the government with any profit or non-profit organizations.	
7B. SPECIFY WHAT DUTIES WILL BE ASSIGNED THAT WILL INVOLVE THE PERSON IN THE RENDERING OF ADVICE TO THE GOVERNMENT WHICH WILL HAVE DIRECT AND PREDICTABLE EFFECT ON THE INTERESTS OF ANY PROFIT OR NON-PROFIT ORGANIZATION:  The Senior Advisor for Technology and Modernization will provide critical recommendations that shape government technology and financial management strategies, directly influencing profit and non-profit organizations involved in financial services, technology procurement, cybersecurity, payment processing, and regulatory compliance. Through policy guidance, modernization efforts, and strategic partnerships, this role will have a direct and predictable effect on private-sector and non-profit entities that interact with the Department of the Treasury.	
8. JUSTIFICATION FOR OBTAINING OR EXTENDING THIS PERSON'S SERVICES: <i>(Please include special qualifications of the nominee which relate specifically to the services to be performed.)</i>  The appointment of Thomas Harry Krause, Jr. as the Senior Advisor for Technology and Modernization is essential to advancing the Department of the Treasury's efforts in modernizing financial systems, enhancing cybersecurity, and improving the operational efficiency of its bureaus. Given the Treasury's increasing reliance on emerging technologies to enhance fiscal management, payment systems, and data security, Mr. Krause's extensive expertise and proven leadership make him exceptionally well-suited for this role.	
9A. TOTAL NUMBER OF DAYS ALREADY EMPLOYED THE ABOVE PERSON AS AN EXPERT OR CONSULTANT TO PERFORM SUBSTANTIALLY THE SAME DUTIES:  0 (zero) days	
9B. TOTAL AMOUNT OF FUNDS, EXCLUDING PAYMENTS FOR TRAVEL AND RELATED EXPENSES, I.E., LODGINGS/MEALS, ETC., PAID THE ABOVE PERSON AS AN EXPERT /CONSULTANT TO PERFORM SUBSTANTIALLY THE SAME DUTIES:  \$0.00	
10. PROPOSED TOTAL AMOUNT OF FUNDS, EXCLUDING PAYMENTS FOR TRAVEL AND RELATED EXPENSES, I.E., LODGINGS/MEALS, ETC., ESTIMATES PAYING THE ABOVE PERSON AS AN EXPERT OR CONSULTANT ON THIS APPOINTMENT:  \$0.00	



DEPARTMENT OF THE TREASURY  
DEPARTMENTAL OFFICES  
OFFICE OF HUMAN RESOURCES

**CERTIFICATION  
EXPERT/CONSULTANT APPOINTMENT**

In approving the appointment of this consultant/expert, I have considered the requirements of law, Office of Personnel Management, and Departmental Offices (DO) policies and instructions. More specifically, I certify that:

1. The services of this individual are essential for effective program management.
2. The duties to be performed are those of *(check one)*
  - a consultant, i.e., they are purely advisory in nature and will not include the performance of supervision of operating functions.
  - an expert, i.e., they require a high level of expertise not available in the regular workforce.
3. The individual is qualified to *(check one)*
  - provide advisory services views, opinions, alternatives, or recommendations on a temporary and/or intermittent basis on issues, problems, or questions presented by a federal official as a consultant as that term is defined in 5 CFR 304.102.
  - serve as an expert with skills superior to those of others in the same profession, occupation, or activity to perform work on a temporary and/or intermittent basis assigned by a federal official as that term is defined in 5 CFR 304.103(a)(2).
4. The appointment is appropriately designated as *(check one)*
  - intermittent (the individual will work occasionally and irregularly).
  - Full-time or part-time (the individual will work on a regular basis for a temporary period)
5. The appropriate appointment authority is being used.
6. The proposed pay rate is commensurate with the work to be performed and qualifications of the proposed appointee; and
7. The record of appointment has been clearly documented to show the services to be performed and the special qualifications of the appointee which relate specifically to those services

Date

2/3/2025

Date

Signature (Supervisor/Program Manager)  
Authorized to Obtain the Consultant's/Expert's Services

Michael J. Wenzler

Digitally signed by Michael J. Wenzler  
Date: 2025.02.03 14:53:08 -05'00'

Signature (Appointing Official)



DEPARTMENT OF THE TREASURY  
DEPARTMENTAL OFFICES  
OFFICE OF HUMAN RESOURCES

**WAIVER OF COMPENSATION**

I understand my service to the Government of the United States as an expert or consultant for the Departmental Offices, Office of the Chief of Staff is provided without compensation.

I agree to release the Government of the United States from any claims or demands for compensation for services performed under this appointment.

A handwritten signature in black ink that reads "Tom Kpura".

\_\_\_\_\_  
Signature of Proposed Appointee

1/27/2025

\_\_\_\_\_  
Date

*Office Use Only*

*Date Received:* 1/27/2025

*Office Human Resources Authorized Signatory:* \_\_\_\_\_  
*Director (or Designee)*

## Contact

[www.linkedin.com/in/thomas-h-krause](https://www.linkedin.com/in/thomas-h-krause) (LinkedIn)

# Tom Krause

CEO, Cloud Software Group  
Fort Lauderdale, Florida, United States

## Summary

Fueled by a decades-long passion for technology and finance, my career has been focused on driving product and business process innovation that builds both sustainable growth for the businesses I lead and value for the customers and partners we serve.

Currently, I serve as Chief Executive Officer at Cloud Software Group, which provides more than 100 million users around the world with mission critical enterprise software at scale. Comprised of the Citrix, NetScaler, TIBCO, IBI, Jaspersoft, ShareFile, and XenServer business units, Cloud Software Group helps the world's largest organizations adapt, transform, and meet the challenges facing every modern enterprise across private, public, managed and sovereign cloud environments.

Prior to joining Cloud Software Group, I served as president of Broadcom Software Group, where I led six software divisions, worked with a team of more than 6,000 employees and managed \$5 billion+ in revenue. I previously served as Chief Financial Officer of Broadcom, after joining the company as VP Corporate Development in 2012.

---

## Experience

Cloud Software Group  
Chief Executive Officer  
September 2022 - Present (2 years 4 months)  
Fort Lauderdale, Florida, United States

More than 100 million users around the globe rely on Cloud Software Group to help them adapt, transform, and meet the challenges facing every modern enterprise across private, public, managed and sovereign cloud environments. We enable our customers to evolve, compete and succeed leveraging our software franchises for and across data, automation, insight and collaboration.



**Broadcom Software**

6 years 8 months

**President, Broadcom Software Group**

December 2020 - September 2022 (1 year 10 months)

San Francisco Bay Area

Broadcom Software: Business-critical software solutions that modernize, optimize, and protect the world's most complex hybrid environments.

Managed Broadcom's six software divisions as well as software sales, customer support and software operations. Included a team of more than 6,000 employees with \$5 billion+ in revenue.

**Chief Financial Officer**

October 2016 - December 2020 (4 years 3 months)

San Jose, California, United States

Broadcom Inc: A global technology leader in semiconductor and infrastructure software solutions.

Responsible for overseeing all financial functions, mergers and acquisitions, information technology, human resources and investor relations

**Acting Chief Financial Officer**

March 2016 - October 2016 (8 months)

San Jose, California, United States

**VP Corporate Development**

February 2016 - October 2016 (9 months)

San Jose, California, United States

**Avago Technologies**

**VP Corporate Development**

January 2012 - January 2016 (4 years 1 month)

Avago Technologies: Leading designer, developer, and global supplier of a broad range of analog and digital semiconductor connectivity solutions.

**Krause Consulting Group**

**Managing Partner**

2010 - 2012 (2 years)

Palo Alto, California, United States

Independent financial advisory firm for various technology companies.

### Techwell

VP Business Development

2004 - 2010 (6 years)

San Jose, California, United States

Fabless semiconductor company that designed and sold mixed-signal video solutions for the security surveillance and automotive infotainment markets.

Acquired by Intersil in 2010.

### TCV

Associate

2002 - 2004 (2 years)

Palo Alto, California, United States

Leading venture capital firm providing capital to growth-stage, private, and public companies in the technology industry.

### Robertson Stephens

Investment Banking Analyst

2000 - 2002 (2 years)

San Francisco

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## Education

Princeton University

Bachelor of Arts - BA, Economics - (1996 - 2000)

Senior Advisor (Technology and Modernization) to the Chief of Staff

FLSA: Exempt

GS-15

The Senior Advisor for Technology and Modernization shall work closely with the Chief of Staff, the Under Secretary for Domestic Finance, and the Office of Fiscal Assistant Secretary and Fiscal Service to lead on the development, execution, and management of the information technology and technological modernization efforts and programs for the Department of the Treasury and the internal management of the Department and its bureaus – including the Bureau of the Fiscal Service (see additional detail below) – as it relates to technology.

The incumbent requires access to Special Sensitive/SCI information in the execution of his duties and Special Sensitive security clearance in order to work on matters related to Department of the Treasury critical infrastructure.

The Senior Advisor will work very closely with the Office of Fiscal Assistant Secretary and Fiscal Service – and in particular the Office of the Commissioner – to execute Fiscal’s mission of promoting the financial integrity and operational efficiency of the federal government through exceptional accounting, financing, collections, payments, and shared services. The Senior Advisor shall focus on key issues for Fiscal, including but not limited to (1) Operational Resiliency; (2) Advancing Governmentwide Payment Integrity; (3) Critical Modernization Programs; (4) Improving the Payment Experience; and (5) TreasuryDirect User Credential Costs. The Senior Advisor shall work closely with key internal, external, and interagency stakeholders to execute Fiscal’s mission.

### III. SUPERVISION AND GUIDANCE

Reports to the Chief of Staff who provides general direction. The Chief of Staff defines the role of the Senior Advisor for IT and Modernization, delegates sufficient authority to permit enactment of this role, communicates relevant policy information, and evaluates performance in terms of effectiveness in the attainment of objectives.



DEPARTMENT OF THE TREASURY  
DEPARTMENTAL OFFICES  
OFFICE OF HUMAN RESOURCES

*CORRECTED 2/10/2025*

**EXPERT and CONSULTANT REQUIRED FORMS CHECKLIST**  
**Appointed under 5 USC 3109, 5 CFR 304 only.**

**Check all attachments included with packet.**

- Request form
- Certification Form
- Financial Disclosure
- Compensation Waiver Form (if unpaid)
- Resume
- Summary of Duties

\* After HR receives the packet from the requesting office, please send the approved packet to Ethics @ [Ethics@treasury.gov](mailto:Ethics@treasury.gov).

**Michael J. Wenzler** Digitally signed by Michael J. Wenzler  
Date: 2025.02.10 14:03:34 -05'00'

Signature of Appointing Authority or Designee

**02/10/2025**

Date



DEPARTMENT OF THE TREASURY  
DEPARTMENTAL OFFICES  
OFFICE OF HUMAN RESOURCES

**EXPERT and CONSULTANT REQUEST FORM**  
**Appointed under 5 USC 3109 only**

<p>1. NAME OF PERSON: <i>(Last, first, middle initial)</i></p> <p><b>Krause Jr., Thomas, Harry</b></p>	<p>2. TOTAL PERIOD FOR WHICH APPOINTMENT IS REQUESTED: <i>(List dates from beginning month/day/year to ending month/day/year)</i></p> <p><b>01/23/2025 - 03/24/2025</b></p>
<p>3. MAILING ADDRESS</p> <p>██</p>	<p>4. APPROXIMATE NUMBER OF DAYS IN CALENDAR YEAR PERSON IS EXPECTED TO PERFORM SERVICES DURING THIS PERIOD.</p> <p><b>60 days</b></p>
<p>5. TYPE OF APPOINTMENT: <i>(Appointment vs /Re-appointment), (Expert vs Consultant), (Full-time, Part-time, Intermittent), Hourly basis vs Daily basis)</i></p> <p><b>Appointment, Consultant, Intermittent, Hourly (Unpaid)</b></p>	
<p>6A. STATE THE BASE SALARY (EXCLUDING LOCALITY PAY). IF UNPAID, CIRCLE BELOW AND COMPLETE WAIVER ON PAGE 3 OF 3:</p> <p>6B. WILL COST OF LIVING ADJUSTMENTS BE AUTHORIZED?</p> <p><b>6C: UNPAID</b></p>	
<p>7. EXPLAIN IN FULL THE SERVICES TO BE PERFORMED: The Senior Advisor for Technology and Modernization plays a pivotal role in advancing the Treasury's technology infrastructure, financial management systems, and cybersecurity initiatives. This position leads IT modernization efforts by implementing emerging technologies such as AI, blockchain, and cloud computing while ensuring compliance with federal IT policies. Additionally, the advisor oversees the modernization of legacy systems, integrating real-time analytics, automation, and enhanced data-sharing capabilities across agencies. In collaboration with the Chief Information Officer (CIO), they strengthen cybersecurity protocols to protect critical financial systems and mitigate risks. Furthermore, the role fosters public-private partnerships with financial institutions, technology firms, and regulatory agencies to drive innovation in digital payments, blockchain applications, and AI-driven fiscal management, ensuring Treasury's financial operations remain secure, efficient, and technologically advanced.</p>	
<p>7A. EXPLAIN WHAT DUTIES WILL BE ASSIGNED THAT WILL INVOLVE THE PERSON IN THE TRANSACTION OF BUSINESS ON BEHALF OF THE GOVERNMENT WITH ANY PROFIT OR NON-PROFIT ORGANIZATION:</p> <p>The Senior Advisor for Technology and Modernization will not be assigned any duties that will involve the incumbent in the transaction of business on behalf of the government with any profit or non-profit organizations.</p>	
<p>7B. SPECIFY WHAT DUTIES WILL BE ASSIGNED THAT WILL INVOLVE THE PERSON IN THE RENDERING OF ADVICE TO THE GOVERNMENT WHICH WILL HAVE DIRECT AND PREDICTABLE EFFECT ON THE INTERESTS OF ANY PROFIT OR NON-PROFIT ORGANIZATION:</p> <p>The Senior Advisor for Technology and Modernization will provide critical recommendations that shape government technology and financial management strategies, directly influencing profit and non-profit organizations involved in financial services, technology procurement, cybersecurity, payment processing, and regulatory compliance. Through policy guidance, modernization efforts, and strategic partnerships, this role will have a direct and predictable effect on private-sector and non-profit entities that interact with the Department of the Treasury.</p>	
<p>8. JUSTIFICATION FOR OBTAINING OR EXTENDING THIS PERSON'S SERVICES: <i>(Please include special qualifications of the nominee which relate specifically to the services to be performed.)</i></p> <p>The appointment of Thomas Harry Krause, Jr. as the Senior Advisor for Technology and Modernization is essential to advancing the Department of the Treasury's efforts in modernizing financial systems, enhancing cybersecurity, and improving the operational efficiency of its bureaus. Given the Treasury's increasing reliance on emerging technologies to enhance fiscal management, payment systems, and data security, Mr. Krause's extensive expertise and proven leadership make him exceptionally well-suited for this role.</p>	
<p>9A. TOTAL NUMBER OF DAYS ALREADY EMPLOYED THE ABOVE PERSON AS AN EXPERT OR CONSULTANT TO PERFORM SUBSTANTIALLY THE SAME DUTIES:</p> <p><b>0 (zero) days</b></p>	
<p>9B. TOTAL AMOUNT OF FUNDS, EXCLUDING PAYMENTS FOR TRAVEL AND RELATED EXPENSES, I.E., LODGINGS/MEALS, ETC., PAID THE ABOVE PERSON AS AN EXPERT /CONSULTANT TO PERFORM SUBSTANTIALLY THE SAME DUTIES:</p> <p><b>\$0.00</b></p>	
<p>10. PROPOSED TOTAL AMOUNT OF FUNDS, EXCLUDING PAYMENTS FOR TRAVEL AND RELATED EXPENSES, I.E., LODGINGS/MEALS, ETC., ESTIMATES PAYING THE ABOVE PERSON AS AN EXPERT OR CONSULTANT ON THIS APPOINTMENT:</p> <p><b>\$0.00</b></p>	



DEPARTMENT OF THE TREASURY  
DEPARTMENTAL OFFICES  
OFFICE OF HUMAN RESOURCES

**CERTIFICATION  
EXPERT/CONSULTANT APPOINTMENT**

In approving the appointment of this consultant/expert, I have considered the requirements of law, Office of Personnel Management, and Departmental Offices (DO) policies and instructions. More specifically, I certify that:

1. The services of this individual are essential for effective program management.
2. The duties to be performed are those of *(check one)*
  - a consultant, i.e., they are purely advisory in nature and will not include the performance of supervision of operating functions.
  - an expert, i.e., they require a high level of expertise not available in the regular workforce.
3. The individual is qualified to *(check one)*
  - provide advisory services views, opinions, alternatives, or recommendations on a temporary and/or intermittent basis on issues, problems, or questions presented by a federal official as a consultant as that term is defined in 5 CFR 304.102.
  - serve as an expert with skills superior to those of others in the same profession, occupation, or activity to perform work on a temporary and/or intermittent basis assigned by a federal official as that term is defined in 5 CFR. 304.103(a)(2).
4. The appointment is appropriately designated as *(check one)*
  - intermittent (the individual will work occasionally and irregularly).
  - Full-time or part-time (the individual will work on a regular basis for a temporary period)
5. The appropriate appointment authority is being used.
6. The proposed pay rate is commensurate with the work to be performed and qualifications of the proposed appointee; and
7. The record of appointment has been clearly documented to show the services to be performed and the special qualifications of the appointee which relate specifically to those services.

Date

02/10/2025

Date

Signature (Supervisor/Program Manager)  
Authorized to Obtain the Consultant's/Expert's Services

**Michael J. Wenzler** Digitally signed by Michael J. Wenzler  
Date: 2025.02.10 14:02:36 -05'00'

Signature (Appointing Official)



DEPARTMENT OF THE TREASURY  
DEPARTMENTAL OFFICES  
OFFICE OF HUMAN RESOURCES

**WAIVER OF COMPENSATION**

I understand my service to the Government of the United States as an expert or consultant for the Departmental Offices, Office of the Chief of Staff is provided without compensation.

I agree to release the Government of the United States from any claims or demands for compensation for services performed under this appointment.

\_\_\_\_\_  
Signature of Proposed Appointee

1/27/2025

\_\_\_\_\_  
Date

*Office Use Only*

*Date Received:* 1/27/2025

*Office Human Resources Authorized Signatory:* \_\_\_\_\_  
*Director (or Designee)*

## Contact

[www.linkedin.com/in/thomas-h-krause](https://www.linkedin.com/in/thomas-h-krause) (LinkedIn)

# Tom Krause

CEO, Cloud Software Group  
Fort Lauderdale, Florida, United States

## Summary

Fueled by a decades-long passion for technology and finance, my career has been focused on driving product and business process innovation that builds both sustainable growth for the businesses I lead and value for the customers and partners we serve.

Currently, I serve as Chief Executive Officer at Cloud Software Group, which provides more than 100 million users around the world with mission critical enterprise software at scale. Comprised of the Citrix, NetScaler, TIBCO, IBI, Jaspersoft, ShareFile, and XenServer business units, Cloud Software Group helps the world's largest organizations adapt, transform, and meet the challenges facing every modern enterprise across private, public, managed and sovereign cloud environments.

Prior to joining Cloud Software Group, I served as president of Broadcom Software Group, where I led six software divisions, worked with a team of more than 6,000 employees and managed \$5 billion+ in revenue. I previously served as Chief Financial Officer of Broadcom, after joining the company as VP Corporate Development in 2012.

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## Experience

Cloud Software Group  
Chief Executive Officer  
September 2022 - Present (2 years 4 months)  
Fort Lauderdale, Florida, United States

More than 100 million users around the globe rely on Cloud Software Group to help them adapt, transform, and meet the challenges facing every modern enterprise across private, public, managed and sovereign cloud environments. We enable our customers to evolve, compete and succeed leveraging our software franchises for and across data, automation, insight and collaboration.



Broadcom Software

6 years 8 months

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Responsible for overseeing all financial functions, mergers and acquisitions, information technology, human resources and investor relations

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**Official Title**

Special Advisor (IT&M)

**Organizational Title**

**PD #**

C00424

**Date Classified**

01/15/2025

**As of**

01/15/2025

**Pay Plan**

GS

**Series**

0301

**Grade**

11

**Target Grade**

11

**Manager Level**

8-All Other Positions

**Bargaining Unit Code**

8888

**FLSA**

Exempt

**LEO Position**

**Medical Check Required**

No

**Position Sensitivity**

4N-Special Sensitive

**Cyber Code**

Primary: 000 1st: 000 2nd: 000

**Sub-Agency/POI Combinations**

91 - 2731

**Career Ladder PD(s)**

**Major Duties**

Special Advisor (Information Technology and Modernization)

FLSA: Exempt

GS-301-11

**I. INTRODUCTION**

The primary purpose of this position is to serve in a close and confidential capacity to the Chief of Staff's Senior Advisor for Information Technology and Modernization. The Special Advisor is responsible for advising the Chief of Staff's Senior Advisor for Information Technology and Modernization on engineering, software, hardware, systems, and other technology matters.

The incumbent of this position requested for Schedule C exception will not be able to adequately perform his/her duties without being privy to the critical information technology hardware and software infrastructure of Treasury Department. The incumbent will be exposed to conversations, dialogues, and other kinds of sensitive information, some of which concern controversial and sensitive issues. The incumbent performs a variety of confidential assignments requiring analysis and evaluation of programs and activities of importance to the Senior Advisor for Information Technology and Modernization. Consequently, the incumbent is required to be familiar with the policies of the Administration and to maintain the confidentiality of all materials. The working relationship between the incumbent and the Chief of Staff and the Chief of Staff's Senior Advisor for Information Technology and Modernization is of a confidential nature required by Schedule C exception. The incumbent requires access to Special Sensitive/SCI information in the execution of his duties and Special Sensitive security clearance in order to work on matters related to Department of the Treasury critical infrastructure.

**II. DUTIES AND RESPONSILITIES**

Case 8:25-cv-00430-DWM Document 51-2 Filed 06/03/25 Page 29 of 37  
Conducts special and confidential studies on a variety of strategies and issues related to Treasury's information technology. Reviews and furnishes the Chief of Staff's Senior Advisor for Information Technology and Modernization with recommendations regarding Treasury's critical software infrastructure.

Identifies, analyzes, and makes recommendations to strengthen Treasury's hardware and software.

The Special Advisor shall work closely with the engineers in the Bureau of Fiscal Service on Information Technology matters to execute Fiscal's mission of promoting the financial integrity and operational efficiency of the federal government through exceptional accounting, financing, collections, payments, and shared services. The Special Advisor shall assist on key issues for Fiscal, including but not limited to (1) Operational Resiliency; (2) Advancing Governmentwide Payment Integrity; (3) Critical Modernization Programs; (4) Improving the Payment Experience; and (5) TreasuryDirect User Credential Costs.

### III. SUPERVISION AND GUIDANCE RECEIVED

The incumbent reports to the Chief of Staff's Senior Advisor for Information Technology and Modernization. Instructions given with assignments are general and indicate objectives to be attained. The incumbent determines ways to attain desired results. Analyses and reports must be comprehensive and sound enough to require minimal review before completion. Completed work is reviewed to ensure adherence to the modernization and information technology objectives of the Treasury Department.

# APPOINTMENT AFFIDAVITS

Senior Advisor (Technology and Modernization)  
\_\_\_\_\_  
(Position to which Appointed)

01/23/2025  
\_\_\_\_\_  
(Date Appointed)

Treasury, Departmental Offices  
\_\_\_\_\_  
(Department or Agency)

Office of the Chief of Staff  
\_\_\_\_\_  
(Bureau or Division)

Washington, DC, United States  
\_\_\_\_\_  
(Place of Employment)

I, Thomas Harry Krause, Jr, do solemnly swear (or affirm) that--

## A. OATH OF OFFICE

I will support and defend the Constitution of the United States against all enemies, foreign and domestic; that I will bear true faith and allegiance to the same; that I take this obligation freely, without any mental reservation or purpose of evasion; and that I will well and faithfully discharge the duties of the office on which I am about to enter. So help me God.

## B. AFFIDAVIT AS TO STRIKING AGAINST THE FEDERAL GOVERNMENT

I am not participating in any strike against the Government of the United States or any agency thereof, and I will not so participate while an employee of the Government of the United States or any agency thereof.

## C. AFFIDAVIT AS TO THE PURCHASE AND SALE OF OFFICE

I have not, nor has anyone acting in my behalf, given, transferred, promised or paid any consideration for or in expectation or hope of receiving assistance in securing this appointment.

Electronically Signed by Thomas H Krause Jr  
\_\_\_\_\_  
(Signature of Appointee)

Subscribed and sworn (or affirmed) before me this \_\_\_\_ day of \_\_\_\_\_, 2\_\_\_\_

at \_\_\_\_\_ (City) \_\_\_\_\_ (State)

(SEAL)

\_\_\_\_\_  
(Signature of Officer)

Commission expires \_\_\_\_\_  
(If by a Notary Public, the date of his/her Commission should be shown) \_\_\_\_\_ (Title)

Note - If the appointee objects to the form of the oath on religious grounds, certain modifications may be permitted pursuant to the Religious Freedom Restoration Act. Please contact your agency's legal counsel for advice.

OSP Tracker Status	Start Date ▼	End Date	Total Business Days	Duration
Pending ISP	01-19-2025			26
EOD Determination Made	01-19-2025	01-19-2025		0
eApp Received	01-19-2025	01-19-2025		0
Pending eApp	01-18-2025	01-19-2025		0
Pending Fingerprint SAC	01-17-2025	01-18-2025		1
Package Under Review	01-17-2025	01-17-2025		0

**From:** [Security Support](#)  
**To:** [Elez, Marko](#)  
**Cc:** [Security Support](#)  
**Subject:** Interim Approval | Elez, Marko | P4P Entry date: January 21st, 2025  
**Date:** Wednesday, January 22, 2025 9:53:09 AM  
**Attachments:** [Initial Collateral Security Training.pdf](#)

---

Good morning, Marko,

You have been approved for an **Interim Secret** clearance.

Please have review the attached Initial Security Training PowerPoint presentation. Also review the [SEAD 3 presentation](#) and the [SEAD 3 Interactive Module](#) links to the Security Executive Agent Directive 3 (SEAD 3) reporting requirements provided above. A frequently asked questions section is provided [here](#).

**Once finished, please “reply all” to this email stating you have successfully reviewed the presentation and links.**

Please provide a day and time you will be available to come to **Main Treasury, Room B-16** (basement) to sign your Standard Form (SF) 312, Classified Nondisclosure Agreement.

Very Respectfully,

Justin R. Schwartz  
Security Specialist  
U.S. Department of the Treasury | Office of Intelligence & Analysis  
Desk: [REDACTED] | Cell: [REDACTED] | VoIP [REDACTED]

Your new Security & Counterintelligence portal is available for use!

<https://treasury.servicenowservices.com/sentry>



**From:** [Personnel Security Team](#)  
**To:** [Iraheta, Oscar](#); [Satcher, Eva](#)  
**Cc:** [SecurityPrograms](#); [Security Support](#); [Mencl, Kari](#); [Dague, Jaimie](#)  
**Subject:** Interim Approval to EOD [Elez, Marko, Federal Employee, Initial-New Hire]  
**Date:** Sunday, January 19, 2025 1:35:12 PM

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Greetings,

Marko Elez has been granted interim approval to Enter On Duty (EOD) into a 4N - Special Sensitive position. Final approval is contingent on a completed background investigation and a favorable adjudication.

If a collateral security briefing is required, Marko Elez will be contacted by [REDACTED] [@treasury.gov](mailto:[REDACTED]@treasury.gov) once the EOD date is established to schedule the briefing.

Thank you,

Office of Security Programs  
Office of Intelligence and Analysis  
U.S. Department of the Treasury

[Unsubscribe](#) | [Notification Preferences](#)  
Ref:MSG5492798\_p2hkRQkIRuFRxGY3QmlW



**To:** Marko Elez

**From:** Brian Halliden  
Attorney-Advisor, General Law, Ethics & Regulation

**Date:** January 16, 2025

**Subject:** Vetting Checklist<sup>1</sup>

---

Please respond to the questions below. Indent your response as a sub-bullet or change the text color to signal your response.

1. Do you (as applicable, or your spouse, minor child, or general partner) hold significant financial investments in the financial services industry (e.g., J.P. Morgan Chase common stock or stock in a sector fund concentrating in the financial industry)? Also, do you (as applicable, or your spouse, minor child, or general partner) hold investments in companies that contract with the government?
  - If yes, is there a willingness/ability to divest if necessary?

No

2. Do you currently hold any investments that restrict your ability to divest of the holding (e.g., hedge funds, private equity holdings, stock options, other plans that do not allow divestiture or trust arrangements that cannot be exited)?

I hold [REDACTED] common stock and [REDACTED] RSUs.

3. Do you (or your spouse or minor child) currently own or are you invested in any financial business or business that you would be unable or unwilling to divest?

No

4. Were you employed by or a consultant to a financial services entity the past year?

No

---

<sup>1</sup> PLEASE NOTE: This checklist contains broad parameters that may be used as one helpful tool in an initial vetting process. If a potential candidate answers “yes” to any of these questions, it does NOT necessarily mean they have unalterable conflicts and cannot be hired to work for Treasury. It only means that an ethics official should be consulted concerning the possibility of a conflict.

5. Does your current employment, or did your employment within the last year, result in the representation of any financial services firms?

No

6. (If applicable) Does your spouse and/or dependent child work for a financial institution; a financial services firm; or represent clients who do?

No

7. Does any other member of your household (adult children, significant other, and housemates) work for a company in the financial sector or represent clients in the financial sector (e.g., as a lawyer or accountant for J.P. Morgan Chase)?

No member of my household. However,   


8. Do any close relatives work for a company that contracts with the financial sector or represent clients in the financial sector?

No

9. Are you currently seeking a business, contractual, or other financial relationship (other than a routine commercial transaction) with an entity in the financial sector?

No

10. Are you currently the party to any book contract or teaching or speaking agreement?

No

11. Are you an active participant in any organization that has significant involvement with the financial sector?

No

12. Are you a member of the board of directors of any organization?

No

**From:** [REDACTED]  
**To:** [Marko Elez](#)  
**Cc:** [David J. Ambrose](#)  
**Subject:** Rules of Behavior  
**Date:** Wednesday, February 5, 2025 6:10:15 PM  
**Attachments:** [Fiscal Service Security RoB Internal 2025-01-27.pdf](#)

---

Marko,

In issuing you the fiscal laptop we missed having you sign the Fiscal Service rules of behavior. Could you sign this and return this back to us.

Very Respectfully,

[REDACTED]

Deputy Assistant Commissioner, Enterprise IT Operations

Information & Security Services

Bureau of the Fiscal Service

Desk [REDACTED]

Cell : [REDACTED]

**Fiscal Service**  
**January 27, 2025**

**Security Rules of Behavior**

**SUBJECT:**

The Bureau of the Fiscal Service (Fiscal Service) Security Rules of Behavior (Rules of Behavior)

**PURPOSE:**

The Rules of Behavior define responsibilities and procedures for the secure use of Fiscal Service data, equipment, information technology (IT) systems, and facilities. By reading and signing the Rules of Behavior, Users (defined below) acknowledge their responsibility for complying with the Rules of Behavior.

**SCOPE:**

The Rules of Behavior apply to Users (not public users) who access or maintain any Fiscal Service data, equipment, IT systems, or facilities, regardless of location (e.g., whether you are at your regular duty station or a remote work location). Users are individuals who have access to Fiscal Service data, equipment, IT systems or facilities for the purpose of performing work on behalf of Fiscal Service. Examples of Users include, but are not limited to, Fiscal Service employees and employees of contractors, sub-contractors, and agents. At Fiscal Service's discretion, certain individuals who have access to Fiscal Service data, equipment, IT systems, or facilities may not be considered Users under this definition and as such may not be required to sign these Rules of Behavior. In addition to the rules and requirements contained within this document, Users should note that other federal laws and regulations apply when accessing Fiscal Service resources (e.g., licensing agreements and copyright laws), but are considered outside the scope of this document.

**Users SHALL:**

Follow these rules regarding Fiscal Service facilities:

- Use facilities properly and follow laws, regulations, and policies governing the use and entrance to such facilities.
- Do not threaten any person or organization.
- Do not commit acts of violence against any person, organization, equipment, or facility.
- Do not bring prohibited items (e.g., weapons) into a Fiscal Service facility.
- Do not use another person's access credential to enter a Fiscal Service facility or secured room.

Follow these rules regarding Fiscal Service data, equipment, and IT systems:

- Use Fiscal Service data, equipment, and IT systems properly and follow laws, regulations, and policies governing the use of such resources (Base Line Security Requirements, ([BLSRs](#)), Treasury Information Technology Security Program ([TD-P 85-01](#)), the Treasury Security Manual ([TD-P 15-71](#)), and [Fiscal Service Policies](#)).
- Protect Fiscal Service data, equipment and IT systems from loss, theft, damage, and unauthorized use or disclosure.
- Secure mobile media (paper and digital) based on the sensitivity of the information contained.
- Use appropriate sensitivity markings on mobile media (paper and digital).
- Promptly report any known or suspected security breaches or threats, including lost, stolen, or improper/suspicious use of Fiscal Service data, equipment, IT systems, or facilities to the IT Service Desk at 304-480-7777.
- Do not attempt to circumvent any security or privacy controls.
- Logoff, lock, or secure workstation/laptop to prevent unauthorized access to Fiscal Service IT systems or services.

**Fiscal Service  
January 27, 2025**

**Security Rules of Behavior**

- Do not read, alter, insert, copy, or delete any Fiscal Service data except in accordance with assigned job responsibilities, guidance, policies, or regulations. The ability to access data does not equate to the authority to access data. In particular, Users must not browse or search Fiscal Service data except in the performance of authorized duties.
- Do not reveal any data processed or stored by Fiscal Service except as required by job responsibilities and within established procedures.
- Do not remotely access Fiscal Service IT systems unless authorized to do so, such as an approved telework agreement authorizing remote access over the bureau's VPN software.
- Do not transport or use Fiscal Service data or equipment outside of the United States or US Territories without written approval from the CSO or CISO.
- Do not connect Fiscal Service equipment to or access a Fiscal Service IT system from a foreign network without written approval from the CSO or CISO.
- Do not install or use unauthorized software or cloud services on Fiscal Service equipment.
- Take reasonable precautions to prevent unauthorized individuals from viewing screen contents or printed documents.
- Do not open e-mail attachments, or click links, from unknown or suspicious sources.
- Be responsible for all activities associated with your assigned user IDs, passwords, access tokens, identification badges, Personal Identity Verification (PIV) cards, or other official identification device or method used to gain access to Fiscal Service data, equipment, IT systems, or facilities.
- Protect passwords and other access credentials from improper disclosure.
- Do not share passwords with anyone else or use another person's password or other access credential such as, but not limited to, someone else's PIV card.
- Use only equipment and software provided by Fiscal Service or that has been approved for use by Fiscal Service's CIO or designee to conduct Fiscal Service business.
- Provide non-work contact information to the bureau to facilitate emergency communications.
- Comply with Fiscal Service social media policy, including restrictions on publishing Fiscal Service information to social media and public websites.

**ACCEPTANCE:**

I have read the Fiscal Service Security Rules of Behavior and fully understand the security requirements. I further understand that violation of these rules may be grounds for legal and/or administrative action by the Fiscal Service and may result in actions up to and including disciplinary action, termination of access, termination of employment, contract termination, and/or prosecution under federal law.

User's Name: \_\_\_\_\_ (printed)

User's Signature: \_\_\_\_\_ (signature)

Date: \_\_\_\_\_

**CLASSIFIED INFORMATION NONDISCLOSURE AGREEMENT****AN AGREEMENT BETWEEN****MARKO ELEZ****AND THE UNITED STATES***(Name of Individual - Printed or typed)*

1. Intending to be legally bound, I hereby accept the obligations contained in this Agreement in consideration of my being granted access to classified information. As used in this Agreement, classified information is marked or unmarked classified information, including oral communications, that is classified under the standards of Executive Order 13526, or under any other Executive order or statute that prohibits the unauthorized disclosure of information in the interest of national security; and unclassified information that meets the standards for classification and is in the process of a classification determination as provided in sections 1.1, 1.2, 1.3 and 1.4(e) of Executive Order 13526, or under any other Executive order or statute that requires protection for such information in the interest of national security. I understand and accept that by being granted access to classified information, special confidence and trust shall be placed in me by the United States Government.
2. I hereby acknowledge that I have received a security indoctrination concerning the nature and protection of classified information, including the procedures to be followed in ascertaining whether other persons to whom I contemplate disclosing this information have been approved for access to it, and that I understand these procedures.
3. I have been advised that the unauthorized disclosure, unauthorized retention, or negligent handling of classified information by me could cause damage or irreparable injury to the United States or could be used to advantage by a foreign nation. I hereby agree that I will never divulge classified information to anyone unless: (a) I have officially verified that the recipient has been properly authorized by the United States Government to receive it; or (b) I have been given prior written notice of authorization from the United States Government Department or Agency (hereinafter Department or Agency) responsible for the classification of information or last granting me a security clearance that such disclosure is permitted. I understand that if I am uncertain about the classification status of information, I am required to confirm from an authorized official that the information is unclassified before I may disclose it, except to a person as provided in (a) or (b), above. I further understand that I am obligated to comply with laws and regulations that prohibit the unauthorized disclosure of classified information.
4. I have been advised that any breach of this Agreement may result in the termination of any security clearances I hold; removal from any position of special confidence and trust requiring such clearances; or termination of my employment or other relationships with the Departments or Agencies that granted my security clearance or clearances. In addition, I have been advised that any unauthorized disclosure of classified information by me may constitute a violation, or violations, of United States criminal laws, including the provisions of sections 641, 793, 794, 798, \*952 and 1924, title 18, United States Code; \*the provisions of section 783(b), title 50, United States Code; and the provisions of the Intelligence Identities Protection Act of 1982. I recognize that nothing in this Agreement constitutes a waiver by the United States of the right to prosecute me for any statutory violation.
5. I hereby assign to the United States Government all royalties, remunerations, and emoluments that have resulted, will result or may result from any disclosure, publication, or revelation of classified information not consistent with the terms of this Agreement.
6. I understand that the United States Government may seek any remedy available to it to enforce this Agreement including, but not limited to, application for a court order prohibiting disclosure of information in breach of this Agreement.
7. I understand that all classified information to which I have access or may obtain access by signing this Agreement is now and will remain the property of, or under the control of the United States Government unless and until otherwise determined by an authorized official or final ruling of a court of law. I agree that I shall return all classified materials which have, or may come into my possession or for which I am responsible because of such access: (a) upon demand by an authorized representative of the United States Government; (b) upon the conclusion of my employment or other relationship with the Department or Agency that last granted me a security clearance or that provided me access to classified information; or (c) upon the conclusion of my employment or other relationship that requires access to classified information. If I do not return such materials upon request, I understand that this may be a violation of sections 793 and/or 1924, title 18, United States Code, a United States criminal law.
8. Unless and until I am released in writing by an authorized representative of the United States Government, I understand that all conditions and obligations imposed upon me by this Agreement apply during the time I am granted access to classified information, and at all times thereafter.
9. Each provision of this Agreement is severable. If a court should find any provision of this Agreement to be unenforceable, all other provisions of this Agreement shall remain in full force and effect.
10. These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling.

*(Continue on reverse.)*

11. These restrictions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by Executive Order No. 13526 (75 Fed. Reg. 707), or any successor thereto section 7211 of title 5, United States Code (governing disclosures to Congress); section 1034 of title 10, United States Code, as amended by the Military Whistleblower Protection Act (governing disclosure to Congress by members of the military); section 2302(b) (8) of title 5, United States Code, as amended by the Whistleblower Protection Act of 1989 (governing disclosures of illegality, waste, fraud, abuse or public health or safety threats); the Intelligence Identities Protection Act of 1982 (50 U.S.C. 421 et seq.) (governing disclosures that could expose confidential Government agents); sections 7(c) and 8H of the Inspector General Act of 1978 (5 U.S.C. App.) (relating to disclosures to an inspector general, the inspectors general of the Intelligence Community, and Congress); section 103H(g)(3) of the National Security Act of 1947 (50 U.S.C. 403-3h(g)(3)) (relating to disclosures to the inspector general of the Intelligence Community); sections 17(d)(5) and 17(e)(3) of the Central Intelligence Agency Act of 1949 (50 U.S.C. 403g(d)(5) and 403q(e)(3)) (relating to disclosures to the Inspector General of the Central Intelligence Agency and Congress); and the statutes which protect against disclosure that may compromise the national security, including sections 641, 793, 794, 798, \*952 and 1924 of title 18, United States Code, and \*section 4 (b) of the Subversive Activities Control Act of 1950 (50 U.S.C. section 783(b)). The definitions, requirements, obligations, rights, sanctions, and liabilities created by said Executive Order and listed statutes are incorporated into this agreement and are controlling.

12. I have read this Agreement carefully and my questions, if any, have been answered. I acknowledge that the briefing officer has made available to me the Executive Order and statutes referenced in this agreement and its implementing regulation (32 CFR Part 2001, section 2001.80(d)(2)) so that I may read them at this time, if I so choose.

\*NOT APPLICABLE TO NON-GOVERNMENT PERSONNEL SIGNING THIS AGREEMENT.

SIGNATURE	DATE	SOCIAL SECURITY NUMBER (See Notice below)
[Redacted]	1/22/25	[Redacted]

ORGANIZATION (IF CONTRACTOR, LICENSEE, GRANTEE OR AGENT, PROVIDE: NAME, ADDRESS, AND, IF APPLICABLE, FEDERAL SUPPLY CODE NUMBER) (Type or print)  
 DEPARTMENT OF TREASURY  
 1500 PENNSYLVANIA AVE, NW  
 WASHINGTON, DC

WITNESS	ACCEPTANCE
THE EXECUTION OF THIS AGREEMENT WAS WITNESSED BY THE UNDERSIGNED.	THE UNDERSIGNED ACCEPTED THIS AGREEMENT ON BEHALF OF THE UNITED STATES GOVERNMENT.
[Redacted Signature]	[Redacted Signature]
DATE: 1/22/25	DATE: 1/22/25
DEPARTMENT OF TREASURY 1500 PENNSYLVANIA AVE, NW WASHINGTON, DC	DEPARTMENT OF TREASURY 1500 PENNSYLVANIA AVE, NW WASHINGTON, DC

**SECURITY DEBRIEFING ACKNOWLEDGEMENT**

I reaffirm that the provisions of the espionage laws, other federal criminal laws and executive orders applicable to the safeguarding of classified information have been made available to me; that I have returned all classified information in my custody; that I will not communicate or transmit classified information to any unauthorized person or organization; that I will promptly report to the Federal Bureau of investigation any attempt by an unauthorized person to solicit classified information, and that I (have) (have not) (strike out inappropriate word or words) received a security debriefing.

SIGNATURE OF EMPLOYEE	DATE
[Redacted]	[Redacted]
NAME OF WITNESS (Type or print)	SIGNATURE OF WITNESS
[Redacted]	[Redacted]

**NOTICE:** The Privacy Act, 5 U.S.C. 552a, requires that federal agencies inform individuals, at the time information is solicited from them, whether the disclosure is mandatory or voluntary, by what authority such information is solicited, and what uses will be made of the information. You are hereby advised that authority for soliciting your Social Security Number (SSN) is Public Law 104-134 (April 26, 1996). Your SSN will be used to identify you precisely when it is necessary to certify that you have access to the information indicated above or to determine that your access to the information indicated has been terminated. Furnishing your Social Security Number, as well as other data, is voluntary, but failure to do so may delay or prevent you being granted access to classified information.



## Department of the Treasury Contact Reporting Requirement Acknowledgment

Department of the Treasury and bureau employees are required to report all contacts with individuals of any nationality, either within or outside the scope of the employees' official activities, in which:


- (1) *Illegal or unauthorized access is sought to classified or otherwise sensitive information and technology.*
- (2) *The employee is concerned that he/she may be the target of actual or attempted exploitation by a foreign entity.*
- (3) *The employee has contact with known or suspected foreign intelligence officers from any country.*

The focus is on reporting questionable contacts by individuals of any nationality regardless of the status of relations between his or her foreign country (or third-country nationals) and the United States.

These reporting requirements are NOT intended to infringe upon the rights of Treasury/bureau employees' free association, but to reinforce their responsibility for safeguarding classified and sensitive information and technology.

By signing this form, the employee is acknowledging that he or she has been briefed on the Treasury Department contact reporting requirements and conditions warranting reporting. Contact reports may be submitted in person and/or in writing to their Treasury/bureau security office. That office shall evaluate the employee's report and notify Treasury's Office of Counterintelligence for appropriate counterintelligence information purposes.

Employee Name Marko Elez

Signature 

Date 1/22/25

The completed form will be filed in the individual's Treasury/bureau security file and a copy thereof may be provided to the individual.

TD F 15-03.4 (7/11)



Department of the Treasury  
**SECURITY ORIENTATION ACKNOWLEDGMENT**

<b>Name of Attendee</b>	<b>Last,</b>	<b>First,</b>	<b>Middle Initial (Type or print in ink)</b>
	Elez	Marko	
<b>Date of Briefing</b>	<input checked="" type="checkbox"/> <b>Initial</b>	<input type="checkbox"/> <b>Refresher</b>	
1/22/25			

This security orientation program highlights the requirements and procedures prescribed by Executive Order for safeguarding classified national security information and applicable Treasury regulations for sensitive but unclassified information. Briefing programs on handling classified information are required of all U.S. Government agencies and departments that originate or process such information. This form documents subject areas presented to the above-named individual including, but not necessarily limited to:

General background information: classification categories (Top Secret, Secret and Confidential); original and derivative classification; classification authority; identification and markings; downgrading and declassification; safeguarding and storage; general restrictions on access; Need-to-Know; dissemination, accountability and transmittal; reproduction; destruction; security violations; loss and/or possible compromise and sensitive but unclassified information.

This form may be supplemented to include office or/bureau-specific security requirements and procedures under "remarks".

**REMARKS:**

**ACKNOWLEDGMENT:** I hereby acknowledge that I have been provided a security orientation program in the areas identified above. I understand that it is my responsibility to become familiar with Treasury security requirements and procedures for safeguarding both classified national security and sensitive but unclassified information.

<b>Signature of Attendee</b>	<b>Office and Location</b>	<b>Date</b>
	OO	1/22/25
<b>Signature of Briefing Official</b>		<b>Date</b>
	OIA	1/22/2025

TD F 15-05.1 (Rev. 06/05) Previous editions obsolete.



**From:** [Personnel Security Team](#)  
**To:** [Iraheta, Oscar](#); [REDACTED]@gmail.com; [Satcher, Eva](#)  
**Cc:** [SecurityPrograms](#); [Security Support](#); [Mencl, Kari](#); [Dague, Jaimie](#); [Macey, Christopher](#)  
**Subject:** Final Adjudication Approval [Krause, Thomas, Federal Employee, Initial-New Hire]  
**Date:** Tuesday, January 21, 2025 12:00:27 PM

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Greetings,

Your background investigation has been favorably adjudicated for 4N - Special Sensitive/4 - SCI Intel Community Directive 704 pursuant to the Department of the Treasury Security Manual, Treasury Directive P 15-71, Chapter II, Personnel Security Investigations for Federal Employees, Contractors, Subcontractors, Experts, Consultants and Paid / Unpaid Interns.

On 01-21-2025, you were found eligible for employment by the Department of the Treasury. Should you require additional security briefings, you will be contacted by [REDACTED]@treasury.gov, otherwise there is no further action required on your part.

Thank you,

Office of Security Programs  
Office of Intelligence and Analysis  
U.S. Department of the Treasury

[Unsubscribe](#) | [Notification Preferences](#)

Ref:MSG5499350\_MSU2SCm0vLSskInPT1H1

**CLASSIFIED INFORMATION NONDISCLOSURE AGREEMENT****AN AGREEMENT BETWEEN****Thomas Harry Krause Jr.****AND THE UNITED STATES***(Name of Individual - Printed or typed)*

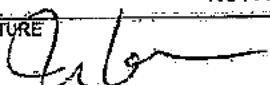
1. Intending to be legally bound, I hereby accept the obligations contained in this Agreement in consideration of my being granted access to classified information. As used in this Agreement, classified information is marked or unmarked classified information, including oral communications, that is classified under the standards of Executive Order 13526, or under any other Executive order or statute that prohibits the unauthorized disclosure of information in the interest of national security; and unclassified information that meets the standards for classification and is in the process of a classification determination as provided in sections 1.1, 1.2, 1.3 and 1.4(e) of Executive Order 13526, or under any other Executive order or statute that requires protection for such information in the interest of national security. I understand and accept that by being granted access to classified information, special confidence and trust shall be placed in me by the United States Government.
2. I hereby acknowledge that I have received a security indoctrination concerning the nature and protection of classified information, including the procedures to be followed in ascertaining whether other persons to whom I contemplate disclosing this information have been approved for access to it, and that I understand these procedures.
3. I have been advised that the unauthorized disclosure, unauthorized retention, or negligent handling of classified information by me could cause damage or irreparable injury to the United States or could be used to advantage by a foreign nation. I hereby agree that I will never divulge classified information to anyone unless: (a) I have officially verified that the recipient has been properly authorized by the United States Government to receive it; or (b) I have been given prior written notice of authorization from the United States Government Department or Agency (hereinafter Department or Agency) responsible for the classification of information or last granting me a security clearance that such disclosure is permitted. I understand that if I am uncertain about the classification status of information, I am required to confirm from an authorized official that the information is unclassified before I may disclose it, except to a person as provided in (a) or (b), above. I further understand that I am obligated to comply with laws and regulations that prohibit the unauthorized disclosure of classified information.
4. I have been advised that any breach of this Agreement may result in the termination of any security clearances I hold; removal from any position of special confidence and trust requiring such clearances; or termination of my employment or other relationships with the Departments or Agencies that granted my security clearance or clearances. In addition, I have been advised that any unauthorized disclosure of classified information by me may constitute a violation, or violations, of United States criminal laws, including the provisions of sections 841, 793, 794, 798, \*952 and 1924, title 18, United States Code; the provisions of section 783(b), title 50, United States Code; and the provisions of the Intelligence Identities Protection Act of 1982. I recognize that nothing in this Agreement constitutes a waiver by the United States of the right to prosecute me for any statutory violation.
5. I hereby assign to the United States Government all royalties, remunerations, and emoluments that have resulted, will result or may result from any disclosure, publication, or revelation of classified information not consistent with the terms of this Agreement.
6. I understand that the United States Government may seek any remedy available to it to enforce this Agreement including, but not limited to, application for a court order prohibiting disclosure of information in breach of this Agreement.
7. I understand that all classified information to which I have access or may obtain access by signing this Agreement is now and will remain the property of, or under the control of the United States Government unless and until otherwise determined by an authorized official or final ruling of a court of law. I agree that I shall return all classified materials which have, or may come into my possession or for which I am responsible because of such access: (a) upon demand by an authorized representative of the United States Government; (b) upon the conclusion of my employment or other relationship with the Department or Agency that last granted me a security clearance or that provided me access to classified information; or (c) upon the conclusion of my employment or other relationship that requires access to classified information. If I do not return such materials upon request, I understand that this may be a violation of sections 793 and/or 1924, title 18, United States Code, a United States criminal law.
8. Unless and until I am released in writing by an authorized representative of the United States Government, I understand that all conditions and obligations imposed upon me by this Agreement apply during the time I am granted access to classified information, and at all times thereafter.
9. Each provision of this Agreement is severable. If a court should find any provision of this Agreement to be unenforceable, all other provisions of this Agreement shall remain in full force and effect.
10. These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling.

*(Continue on reverse.)*



11. These restrictions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by Executive Order No. 13526 (75 Fed. Reg. 707), or any successor thereto section 7211 of title 5, United States Code (governing disclosures to Congress); section 1034 of title 10, United States Code, as amended by the Military Whistleblower Protection Act (governing disclosure to Congress by members of the military); section 2302(b) (8) of title 5, United States Code, as amended by the Whistleblower Protection Act of 1989 (governing disclosures of illegality, waste, fraud, abuse or public health or safety threats); the Intelligence Identities Protection Act of 1982 (50 U.S.C. 421 et seq.) (governing disclosures that could expose confidential Government agents); sections 7(c) and 8H of the Inspector General Act of 1978 (5 U.S.C. App.) (relating to disclosures to an Inspector general, the Inspectors general of the Intelligence Community, and Congress); section 103H(g)(3) of the National Security Act of 1947 (50 U.S.C. 403-3h(g)(3)) (relating to disclosures to the Inspector general of the Intelligence Community); sections 17(d)(5) and 17(e)(3) of the Central Intelligence Agency Act of 1949 (50 U.S.C. 403g(d)(5) and 403g(e)(3)) (relating to disclosures to the Inspector General of the Central Intelligence Agency and Congress); and the statutes which protect against disclosure that may compromise the national security, including sections 541, 793, 794, 798, \*952 and 1924 of title 18, United States Code, and \*section 4 (b) of the Subversive Activities Control Act of 1950 (50 U.S.C. section 783(b)). The definitions, requirements, obligations, rights, sanctions, and liabilities created by said Executive Order and listed statutes are incorporated into this agreement and are controlling.

12. I have read this Agreement carefully and my questions, if any, have been answered. I acknowledge that the briefing officer has made available to me the Executive Order and statutes referenced in this agreement and its implementing regulation (32 CFR Part 2001, section 2001.60(d)(2)) so that I may read them at this time, if I so choose.

\* NOT APPLICABLE TO NON-GOVERNMENT PERSONNEL SIGNING THIS AGREEMENT.

SIGNATURE 	DATE 1/22/25	SOCIAL SECURITY NUMBER (See Notice below) [REDACTED]
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ORGANIZATION (IF CONTRACTOR, LICENSEE, GRANTEE OR AGENT, PROVIDE NAME, ADDRESS, AND, IF APPLICABLE, FEDERAL SUPPLY CODE NUMBER) (Type or print)  
 DEPARTMENT OF TREASURY  
 1500 PENNSYLVANIA AVE, NW  
 WASHINGTON, DC

WITNESS		ACCEPTANCE	
THE EXECUTION OF THIS AGREEMENT WAS WITNESSED BY THE UNDERSIGNED.		THE UNDERSIGNED ACCEPTED THIS AGREEMENT ON BEHALF OF THE UNITED STATES GOVERNMENT.	
	DATE 1/22/25	SIGNATURE 	DATE 1/22/25
NAME AND ADDRESS (Type or print) DEPARTMENT OF TREASURY 1500 PENNSYLVANIA AVE, NW WASHINGTON, DC		NAME AND ADDRESS (Type or print) DEPARTMENT OF TREASURY 1500 PENNSYLVANIA AVE, NW WASHINGTON, DC	

**SECURITY DEBRIEFING ACKNOWLEDGEMENT**

I reaffirm that the provisions of the espionage laws, other federal criminal laws and executive orders applicable to the safeguarding of classified information have been made available to me; that I have returned all classified information in my custody; that I will not communicate or transmit classified information to any unauthorized person or organization; that I will promptly report to the Federal Bureau of Investigation any attempt by an unauthorized person to solicit classified information, and that I (have) (have not) (strike out inappropriate word or words) received a security debriefing.

SIGNATURE OF EMPLOYEE	DATE
-----------------------	------

NAME OF WITNESS (Type or print)	SIGNATURE OF WITNESS
---------------------------------	----------------------

**NOTICE:** The Privacy Act, 5 U.S.C. 552a, requires that federal agencies inform individuals, at the time information is solicited from them, whether the disclosure is mandatory or voluntary, by what authority such information is solicited, and what uses will be made of the information. You are hereby advised that authority for soliciting your Social Security Number (SSN) is Public Law 104-134 (April 26, 1996). Your SSN will be used to identify you precisely when it is necessary to certify that you have access to the information indicated above or to determine that your access to the information indicated has been terminated. Furnishing your Social Security Number, as well as other data, is voluntary, but failure to do so may delay or prevent you being granted access to classified information.

Apply appropriate classification level and any control markings (if applicable) when filled in.

**(U) SENSITIVE COMPARTMENTED INFORMATION NONDISCLOSURE AGREEMENT**

An Agreement between

Thomas Harry Krause Jr.

and the United States.

(Name - Printed or Typed)

1. (U) Intending to be legally bound, I hereby accept the obligations contained in this Agreement in consideration of my being granted access to information or material protected within Special Access Programs, hereinafter referred to in this Agreement as Sensitive Compartmented Information (SCI). I have been advised that SCI involves or derives from intelligence sources or methods and is classified or is in process of a classification determination under the standards of Executive Order 13526 or other Executive order or statute. I understand and accept that by being granted access to SCI, special confidence and trust shall be placed in me by the United States Government.
2. (U) I hereby acknowledge that I have received a security indoctrination concerning the nature and protection of SCI, including the procedures to be followed in ascertaining whether other persons to whom I contemplate disclosing this information or material have been approved for access to it, and I understand these procedures. I understand that I may be required to sign subsequent agreements upon being granted access to different categories of SCI. I further understand that all my obligations under this agreement continue to exist whether or not I am required to sign such subsequent agreements.
3. (U) I have been advised that the unauthorized disclosure, unauthorized retention, or negligent handling of SCI by me could cause irreparable injury to the United States or be used to advantage by a foreign nation. I hereby agree that I will never divulge anything marked as SCI or that I know to be SCI to anyone who is not authorized to receive it without prior written authorization from the United States Government department or agency (hereinafter Department or Agency) that last authorized my access to SCI. I understand that it is my responsibility to consult with appropriate management authorities in the Department or Agency that last authorized my access to SCI, whether or not I am still employed by or associated with that Department or Agency or a contractor thereof, in order to ensure that I know whether information or material within my knowledge or control that I have reason to believe might be, or related to or derived from SCI, is considered by such Department or Agency to be SCI. I further understand that I am also obligated by law and regulation not to disclose any classified information or material in an unauthorized fashion.
4. (U) In consideration of being granted access to SCI and of being assigned or retained in a position of special confidence and trust requiring access to SCI, I hereby agree to submit for security review by the Department or Agency that last authorized my access to such information or material, any writing or other preparation in any form, including a work of fiction, that contains or purports to contain any SCI or description of activities that produce or relate to SCI or that I have reason to believe are derived from SCI, that I contemplate disclosing to any person not authorized to have access to SCI or that I have prepared for public disclosure. I understand and agree that my obligation to submit such preparations for review applies during the course of my access to SCI and thereafter, and I agree to make any required submissions prior to discussing the preparation with, or showing it to, anyone who is not authorized to have access to SCI. I further agree that I will not disclose the contents of such preparation with, or show it to, anyone who is not authorized to have access to SCI until I have received written authorization from the Department or Agency that last authorized my access to SCI that such disclosure is permitted.
5. (U) I understand that the purpose of the review described in paragraph 4 is to give the United States a reasonable opportunity to determine whether the preparation submitted pursuant to paragraph 4 sets forth any SCI. I further understand that the Department or Agency to which I have made a submission will act upon it, coordinating within the Intelligence Community when appropriate, and make a response to me within a reasonable time, not to exceed 30 working days from date of receipt.
6. (U) I have been advised that any breach of this Agreement may result in my termination of my access to SCI and removal from a position of special confidence and trust requiring such access, as well as the termination of my employment or other relationships with any Department or Agency that provides me with access to SCI. In addition, I have been advised that any unauthorized disclosure of SCI by me may constitute violations of United States criminal laws, including provisions of Sections 793, 794, 798, and 952, Title 18, United States Code, and of Section 783(b), Title 50, United States Code. Nothing in this agreement constitutes a waiver by the United States of the right to prosecute me for any statutory violation.
7. (U) I understand that the United States Government may seek any remedy available to it to enforce this Agreement including, but not limited to, application for a court order prohibiting disclosure of information in breach of this Agreement. I have been advised that the action can be brought against me in any of the several appropriate United States District Courts where the United States Government may elect to file the action. Court costs and reasonable attorney's fees incurred by the United States Government may be assessed against me if I lose such action.
8. (U) I understand that all information to which I may obtain access by signing this Agreement is now and will remain the property of the United States Government unless and until otherwise determined by an appropriate official or final ruling of a court of law. Subject to such determination, I do not now, nor will I ever, possess any right, interest, title, or claim whatsoever to such information. I agree that I shall return all materials that may have come into my possession or for which I am responsible because of such access, upon demand by an authorized representative of the United States Government or upon the conclusion of my employment or other relationship with the United States Government entity providing me access to such materials. If I do not return such materials upon request, I understand this may be a violation of Section 793, Title 18, United States Code.
9. (U) Unless and until I am released in writing by an authorized representative of the Department or Agency that last provided me with access to SCI, I understand that all conditions and obligations imposed on me by this Agreement apply during the time I am granted access to SCI, and at all times thereafter.
10. (U) Each provision of this Agreement is severable. If a court should find any provision of this Agreement to be unenforceable, all other provisions of this Agreement shall remain in full force and effect. This Agreement concerns SCI and does not set forth such other



Apply appropriate classification level and any control markings (if applicable) when filled in.

conditions and obligations not related to SCI as may now or hereafter pertain to my employment by or assignment or relationship with the Department or Agency.

11. (U) I have read this Agreement carefully and my questions, if any, have been answered to my satisfaction. I acknowledge that the briefing officer has made available Sections 793, 794, 798 and 952 of Title 18, United States Code, and Section 783(b) of Title 50, United States Code, and Executive Order 13526, as amended, so that I may read them at this time, if I so choose.

12. (U) I hereby assign to the United States Government all rights, title and interest, and all royalties, remunerations, and emoluments that have resulted, will result, or may result from any disclosure, publication, or revelation not consistent with the terms of this Agreement.

13. (U) These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling.

14. (U) These restrictions are consistent with and do not supersede conflict with or otherwise alter the employee obligations rights or liabilities created by Executive Order 13526; or any successor thereto, Section 7211 of Title 5, United States Code (governing disclosures to Congress); Section 1034 of Title 10, United States Code, as amended by the Military Whistleblower Protection Act (governing disclosures to Congress by members of the Military); Section 2302(b)(8) of Title 5, United States Code, as amended by the Whistleblower Protection Act (governing disclosure of illegality, waste, fraud, abuse or public health or safety threats); the Intelligence Identities Protection Act of 1982 (50 U.S.C. 421 et seq.) (governing disclosures that could expose confidential Government agents), sections 7(c) and 8H of the Inspector General Act of 1978 (5 U.S.C. App.) (relating to disclosures to an inspector general, the inspectors general of the Intelligence Community; and Congress); section 103H(g)(3) of the National Security Act of 1947 (50 U.S.C. 403-3h(g)(3) (relating to disclosures to the inspector general of the Intelligence Community); sections 17(d)(5) and 17(e)(3) of the CIA Act of 1949 (50 U.S.C. 403q(d)(5) and 403q(e)(3)) (relating to disclosures to the Inspector General of the Central Intelligence Agency and Congress); and the statutes which protect agent disclosure which may compromise the national security, including Section 641, 793, 794, 798, and 952 of Title 18, United States Code, and Section 4(b) of the Subversive Activities Control Act of 1950 (50 U.S.C. Section 783(b)). The definitions, requirements, obligations, rights, sanctions and liabilities created by said Executive Order and listed statutes are incorporated into this Agreement and are controlling.

15. (U) This Agreement shall be interpreted under and in conformance with the law of the United States.

16. (U) I make this Agreement without any mental reservation or purpose of evasion.

[Signature] 1/23/25  
Signature Date

The execution of this Agreement was witnessed by the undersigned who accepted it on behalf of the United States Government as a prior condition of access to Sensitive Compartmented Information (SCI) [Redacted]

WITNESS and ACCEPTANCE: [Signature] 1/23/2025  
Signature Date

**SECURITY BRIEFING / DEBRIEFING ACKNOWLEDGMENT**

SI _____	TK _____	SI-G _____	HCS-P _____	KLM-R _____	_____
_____	_____	_____	_____	_____	_____
(Special Access Programs by Initials Only)					
_____	Thomas Harry Krause Jr.			DO	_____
_____	Printed or Typed Name			Organization	_____
_____	SSN (See Notice Below)				

<b>BRIEF</b> Date <u>1/23/25</u> I hereby acknowledge that I was briefed on the above SCI Special Access Program(s): <u>[Signature]</u> Signature of Individual Briefed	<b>DEBRIEF</b> Date _____ Having been reminded of my continuing obligation to comply with the terms of this Agreement, I hereby acknowledge that I was debriefed on the above SCI Special Access Program(s): _____ Signature of Individual Briefed
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\_\_\_\_\_ the above date was in accordance with relevant SCI procedures.

\_\_\_\_\_ Officer \_\_\_\_\_ SSN (See notice below) \_\_\_\_\_  
 \_\_\_\_\_ Organization (Name and Address)

(U) NOTICE: The Privacy Act, 5 U.S.C. 522a, requires that federal agencies inform individuals, at the time information is solicited from them, whether the disclosure is mandatory or voluntary, by what authority such information is solicited, and what uses will be made of the information. You are hereby advised that authority for soliciting your Social Security Account Number (SSN) is Executive Order 9397, as amended. Your SSN will be used to identify you precisely when it is necessary to 1) certify that you have access to the information indicated above, 2) determine that your access to the information has terminated, or 3) certify that you have witnessed a briefing or debriefing. Although disclosure of your SSN is not mandatory, your failure to do so may impede such certifications or determinations.

OSP Tracker Status	Start Date ▼	End Date	Total Business Days	Duration
Closed	02-24-2025			3
Pending EOD Determination	02-24-2025	02-24-2025		0
Adjudication - Favorable	01-21-2025	01-21-2025		0
Closed	01-21-2025	02-24-2025		23
Pending Adjudication Review	01-21-2025	01-21-2025		0
Conducting Security Check	01-18-2025	01-21-2025		0
Package Under Review	01-17-2025	01-18-2025		1

OSP Tracker Status	Start Date ▼	End Date	Total Business Days	Duration
Conducting Security Check	02-11-2025	02-11-2025		0
EOD Re-affirmed for New Position	02-11-2025	02-11-2025		0
Package Under Review	02-11-2025	02-11-2025		0
Closed	02-11-2025			11



**To:** Tom Krause  
[REDACTED]@gmail.com

**From:** [REDACTED]

**Date:** 1/10/25

**Subject:** Potential Hire Vetting Checklist<sup>1</sup>

---

Please respond to the questions below. Indent your response as a sub-bullet or change the text color to signal your response.

1. Do you (as applicable, or your spouse, minor child, or general partner) hold significant financial investments in the financial services industry (e.g., J.P. Morgan Chase common stock or stock in a sector fund concentrating in the financial industry); or in the software sector? Also, do you (as applicable, or your spouse, minor child, or general partner) hold investments in companies that contract with the government?
  - o If yes, is there a willingness/ability to divest if necessary

Attached is a list of my equity holdings based on GICS classifications for Financials (includes banks, capital markets firms, consumer finance, insurance, and asset managers), Software, and Aerospace & Defense (which is the closest approximation among the GICS classifications for “companies that contract with the government”). I would be willing and able to divest any of these holdings if necessary.

I also have a [REDACTED] commitment as a Limited Partner (LP) in GTM Fund, a software venture capital fund, but have no control or discretion over it. It would be a challenge to divest myself of that commitment.

Finally, I have stock options in my current employer, Cloud Software Group ([www.cloud.com](http://www.cloud.com)), which sells products to commercial and government users.

Note that these investments are held by me directly or in trust where I am either grantor, trustee, or beneficiary.

2. Do you currently hold any investments that restrict your ability to divest of the holding (e.g., hedge funds, private equity holdings, stock options, other plans that do not allow divestiture or trust arrangements that cannot be exited)?

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<sup>1</sup> PLEASE NOTE: This checklist contains broad parameters that may be used as one helpful tool in an initial vetting process. If a potential candidate answers “yes” to any of these questions, it does NOT necessarily mean they have unalterable conflicts and cannot be hired to work for Treasury. It only means that an ethics official should be consulted concerning the possibility of a conflict.

In addition to GTM Fund and my stock options in Cloud Software Group described above, I am a minority shareholder or LP – with no control or discretion – in the following private investments which would also be challenging to divest:

Private Equity

- [REDACTED] commitment to Vista Capital Solution Fund LP (Private Credit Fund)
- [REDACTED] investment in KKR Private Equity Conglomerate LLC (Private Equity)

Private Credit

- [REDACTED] investment in Blackstone Private Credit (Private Credit Fund)
- [REDACTED] investment in Apollo Debt Solutions (Private Credit Fund)

Private Real Estate

- [REDACTED] investment in Blackstone Private Real Estate Investment Trust
- [REDACTED] commitment to Bridge Workforce and Affordable Housing II
- [REDACTED] investment in Starwood Private Real Estate Investment Trust

Hedge Funds

- [REDACTED] investment in Millennium
- [REDACTED] investment in Schonfeld Fundamental Equity
- [REDACTED] investment in The Children's Investment Fund

Note that these investments are held by me directly or in trust where I am either grantor, trustee, or beneficiary.

3. Do you (or your spouse or minor child) currently own or are you invested in any financial business or business that you would be unable or unwilling to divest?

See responses above.

4. Were you employed by or a consultant to a financial services entity the past year?

I have a consulting contract with Elliott Investment Management – an alternative investment manager – to provide advice regarding software/technology investments.

5. Does your current employment, or did your employment within the last year, result in the representation of any financial services firms?

No

6. (If applicable) Does your spouse and/or dependent child work for a financial institution; a financial services firm; or represent clients who do?

No

7. Does any other member of your household (adult children, significant other, and housemates) work for a company in the financial sector or represent clients in the financial sector (e.g., as a lawyer or accountant for J.P. Morgan Chase)?

No

8. Do any close relatives work for a company that contracts with the financial sector or represent clients in the financial sector?

No

9. Are you currently seeking a business, contractual, or other financial relationship (other than a routine commercial transaction) with an entity in the financial sector?

No

10. Are you currently the party to any book contract or teaching or speaking agreement?

No

11. Are you an active participant in any organization that has significant involvement with the financial sector?

No

12. Are you a member of the board of directors of any organization?

Yes. In addition to being CEO of Cloud Software Group, I am a member of the company's board of directors.

## Portfolio Holdings

As of: 01/10/2025

GICS Sector: Financials

GICS Industry: Software

GICS Industry: Aerospace &amp; Defense

Symbol	Name	Country	GICS Sector	GICS Industry	Value (\$)
<b>GICS Sector: Financials</b>					
BLK	BlackRock Inc	United States of America	Financials	Capital Markets	
BRKB	Berkshire Hathaway Inc	United States of America	Financials	Financial Services	
AIG	American International Group Inc	United States of America	Financials	Insurance	
JPM	JPMorgan Chase & Co	United States of America	Financials	Banks	
AON	Aon PLC	Ireland; Republic of	Financials	Insurance	
BAC	Bank of America Corp	United States of America	Financials	Banks	
AMP	Ameriprise Financial Inc	United States of America	Financials	Capital Markets	
COF	Capital One Financial Corp	United States of America	Financials	Consumer Finance	
V	Visa Inc	United States of America	Financials	Financial Services	
MA	Mastercard Inc	United States of America	Financials	Financial Services	
PGR	Progressive Corp	United States of America	Financials	Insurance	
GS	Goldman Sachs Group Inc	United States of America	Financials	Capital Markets	
PNC	PNC Financial Services Group Inc	United States of America	Financials	Banks	
USB	US Bancorp	United States of America	Financials	Banks	
BX	Blackstone Inc	United States of America	Financials	Capital Markets	
AIG	Arthur J. Gallagher & Co.	United States of America	Financials	Insurance	
MJFG	Mitsubishi UFJ Financial Group Inc	Japan	Financials	Banks	
MCO	Moody's Corp	United States of America	Financials	Capital Markets	
ICE	Intercontinental Exchange Inc	United States of America	Financials	Capital Markets	
AXP	American Express Co	United States of America	Financials	Consumer Finance	
CFR	Cullen/Frost Bankers Inc	United States of America	Financials	Banks	
CBOE	Cboe Global Markets Inc	United States of America	Financials	Capital Markets	
TRV	Travelers Companies Inc	United States of America	Financials	Insurance	
CBSH	Commerce Bancshares Inc	United States of America	Financials	Banks	
SPGI	S&P Global Inc	United States of America	Financials	Capital Markets	
MS	Morgan Stanley	United States of America	Financials	Capital Markets	
AFL	Aflac Inc	United States of America	Financials	Insurance	
BRO	Brown & Brown Inc	United States of America	Financials	Insurance	
RJF	Raymond James Financial Inc	United States of America	Financials	Capital Markets	
WFC	Wells Fargo & Co	United States of America	Financials	Banks	
CMWAY	Commonwealth Bank of Australia	Australia	Financials	Banks	
HSBC	HSBC Holdings PLC	United Kingdom	Financials	Banks	
UNCRY	UniCredit SpA	Italy	Financials	Banks	
MURGY	Muenchener Rueckversicherungs-Gesellschaft in Muenchen AG	Germany	Financials	Insurance	
ISNPFY	Intesa Sanpaolo SpA	Italy	Financials	Banks	
SAN	Banco Santander SA	Spain	Financials	Banks	
UBS	UBS Group AG	Switzerland	Financials	Capital Markets	
TGOPY	3i Group PLC	United Kingdom	Financials	Capital Markets	
MFG	Mizuho Financial Group Inc	Japan	Financials	Banks	
AXAHY	AXA SA	France	Financials	Insurance	
TKOMY	Tokio Marine Holdings Inc	Japan	Financials	Insurance	
SCHW	Charles Schwab Corp	United States of America	Financials	Capital Markets	
NABZY	National Australia Bank Ltd	Australia	Financials	Banks	
DBSDY	DBS Group Holdings Ltd	Singapore	Financials	Banks	
BBVA	Banco Bilbao Vizcaya Argentaria SA	Spain	Financials	Banks	
ING	ING Groep NV	Netherlands	Financials	Banks	
AAGIY	AIA Group Ltd	Hong Kong	Financials	Insurance	
ANZGY	ANZ Group Holdings Ltd	Australia	Financials	Banks	
ALIZY	Allianz SE	Germany	Financials	Insurance	
MQBKY	Macquarie Group Ltd	Australia	Financials	Capital Markets	
DB	Deutsche Bank AG	Germany	Financials	Capital Markets	
EBKDY	Erste Group Bank AG	Austria	Financials	Banks	
NRDBY	Nordea Bank Abp	Finland	Financials	Banks	
MSADY	MS&AD Insurance Group Holdings Inc	Japan	Financials	Insurance	
IX	ORIX Corp	Japan	Financials	Financial Services	
HVRRY	Hannover Rueck SE	Germany	Financials	Insurance	
SCBFY	Standard Chartered PLC	United Kingdom	Financials	Banks	
SWDBY	Swedbank AB	Sweden	Financials	Banks	
ZURVY	Zurich Insurance Group AG	Switzerland	Financials	Insurance	
ADYEV	Adyen NV	Netherlands	Financials	Financial Services	
JBAXY	Julius Baer Gruppe AG	Switzerland	Financials	Capital Markets	
SVNLY	Svenska Handelsbanken AB	Sweden	Financials	Banks	
SMFG	Sumitomo Mitsui Financial Group Inc	Japan	Financials	Banks	
JPXGY	Japan Exchange Group Inc	Japan	Financials	Capital Markets	
DNBBY	Dnb Bank ASA	Norway	Financials	Banks	
KBCSY	Kbc Groep NV	Belgium	Financials	Banks	
MDIBY	Mediobanca Banca di Credito Finanziario SpA	Italy	Financials	Banks	
MMC	Marsh & McLennan Companies Inc	United States of America	Financials	Insurance	

**Portfolio Holdings**  
As of: 01/10/2025

**GICS Sector: Financials**  
**GICS Industry: Software**  
**GICS Industry: Aerospace & Defense**

Symbol	Name	Country	GICS Sector	GICS Industry	Value (\$)
<b>GICS Industry: Software</b>					
MSFT	Microsoft Corp	United States of America	Information Technology	Software	
ORCL	Oracle Corp	United States of America	Information Technology	Software	
INTU	Intuit Inc	United States of America	Information Technology	Software	
ADBE	Adobe Inc	United States of America	Information Technology	Software	
CRM	Salesforce Inc	United States of America	Information Technology	Software	
ANSS	ANSYS Inc	United States of America	Information Technology	Software	
NOW	ServiceNow Inc	United States of America	Information Technology	Software	
SAP	SAP SE	Germany	Information Technology	Software	
ROP	Roper Technologies Inc	United States of America	Information Technology	Software	
PANW	Palo Alto Networks Inc	United States of America	Information Technology	Software	
ADSK	Autodesk Inc	United States of America	Information Technology	Software	
<b>GICS Industry: Aerospace &amp; Defense</b>					
GE	General Electric Co	United States of America	Industrials	Aerospace & Defense	
GD	General Dynamics Corp	United States of America	Industrials	Aerospace & Defense	
LMT	Lockheed Martin Corp	United States of America	Industrials	Aerospace & Defense	
TDG	TransDigm Group Inc	United States of America	Industrials	Aerospace & Defense	
BA	Boeing Co	United States of America	Industrials	Aerospace & Defense	
NOC	Northrop Grumman Corp	United States of America	Industrials	Aerospace & Defense	
RTX	RTX Corp	United States of America	Industrials	Aerospace & Defense	

**CLASSIFIED INFORMATION NONDISCLOSURE AGREEMENT****AN AGREEMENT BETWEEN****Thomas Harry Krause Jr.****AND THE UNITED STATES***(Name of individual - Printed or typed)*

1. Intending to be legally bound, I hereby accept the obligations contained in this Agreement in consideration of my being granted access to classified information. As used in this Agreement, classified information is marked or unmarked classified information, including oral communications, that is classified under the standards of Executive Order 13526, or under any other Executive order or statute that prohibits the unauthorized disclosure of information in the interest of national security; and unclassified information that meets the standards for classification and is in the process of a classification determination as provided in sections 1.1, 1.2, 1.3 and 1.4(e) of Executive Order 13526, or under any other Executive order or statute that requires protection for such information in the interest of national security. I understand and accept that by being granted access to classified information, special confidence and trust shall be placed in me by the United States Government.
2. I hereby acknowledge that I have received a security indoctrination concerning the nature and protection of classified information, including the procedures to be followed in ascertaining whether other persons to whom I contemplate disclosing this information have been approved for access to it, and that I understand these procedures.
3. I have been advised that the unauthorized disclosure, unauthorized retention, or negligent handling of classified information by me could cause damage or irreparable injury to the United States or could be used to advantage by a foreign nation. I hereby agree that I will never divulge classified information to anyone unless: (a) I have officially verified that the recipient has been properly authorized by the United States Government to receive it; or (b) I have been given prior written notice of authorization from the United States Government Department or Agency (hereinafter Department or Agency) responsible for the classification of information or last granting me a security clearance that such disclosure is permitted. I understand that if I am uncertain about the classification status of information, I am required to confirm from an authorized official that the information is unclassified before I may disclose it, except to a person as provided in (a) or (b), above. I further understand that I am obligated to comply with laws and regulations that prohibit the unauthorized disclosure of classified information.
4. I have been advised that any breach of this Agreement may result in the termination of any security clearances I hold; removal from any position of special confidence and trust requiring such clearances; or termination of my employment or other relationships with the Departments or Agencies that granted my security clearance or clearances. In addition, I have been advised that any unauthorized disclosure of classified information by me may constitute a violation, or violations, of United States criminal laws, including the provisions of sections 641, 793, 794, 798, \*952 and 1924, title 18, United States Code; \*the provisions of section 783(b), title 50, United States Code; and the provisions of the Intelligence Identities Protection Act of 1982. I recognize that nothing in this Agreement constitutes a waiver by the United States of the right to prosecute me for any statutory violation.
5. I hereby assign to the United States Government all royalties, remunerations, and emoluments that have resulted, will result or may result from any disclosure, publication, or revelation of classified information not consistent with the terms of this Agreement.
6. I understand that the United States Government may seek any remedy available to it to enforce this Agreement including, but not limited to, application for a court order prohibiting disclosure of information in breach of this Agreement.
7. I understand that all classified information to which I have access or may obtain access by signing this Agreement is now and will remain the property of, or under the control of the United States Government unless and until otherwise determined by an authorized official or final ruling of a court of law. I agree that I shall return all classified materials which have, or may come into my possession or for which I am responsible because of such access: (a) upon demand by an authorized representative of the United States Government; (b) upon the conclusion of my employment or other relationship with the Department or Agency that last granted me a security clearance or that provided me access to classified information; or (c) upon the conclusion of my employment or other relationship that requires access to classified information. If I do not return such materials upon request, I understand that this may be a violation of sections 793 and/or 1924, title 18, United States Code, a United States criminal law.
8. Unless and until I am released in writing by an authorized representative of the United States Government, I understand that all conditions and obligations imposed upon me by this Agreement apply during the time I am granted access to classified information, and at all times thereafter.
9. Each provision of this Agreement is severable. If a court should find any provision of this Agreement to be unenforceable, all other provisions of this Agreement shall remain in full force and effect.
10. These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling.

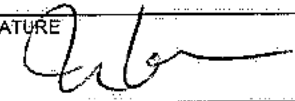
*(Continue on reverse.)*





11. These restrictions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by Executive Order No. 13526 (75 Fed. Reg. 707), or any successor thereto section 7211 of title 5, United States Code (governing disclosures to Congress); section 1034 of title 10, United States Code, as amended by the Military Whistleblower Protection Act (governing disclosure to Congress by members of the military); section 2302(b) (8) of title 5, United States Code, as amended by the Whistleblower Protection Act of 1989 (governing disclosures of illegality, waste, fraud, abuse or public health or safety threats); the Intelligence Identities Protection Act of 1982 (50 U.S.C. 421 et seq.) (governing disclosures that could expose confidential Government agents); sections 7(c) and 8H of the Inspector General Act of 1978 (5 U.S.C. App.) (relating to disclosures to an inspector general, the inspectors general of the Intelligence Community, and Congress); section 103H(g)(3) of the National Security Act of 1947 (50 U.S.C. 403-3h(g)(3)) (relating to disclosures to the inspector general of the Intelligence Community); sections 17(d)(5) and 17(e)(3) of the Central Intelligence Agency Act of 1949 (50 U.S.C. 403g(d)(5) and 403q(e)(3)) (relating to disclosures to the Inspector General of the Central Intelligence Agency and Congress); and the statutes which protect against disclosure that may compromise the national security, including sections 641, 793, 794, 798, \*952 and 1924 of title 18, United States Code, and \*section 4 (b) of the Subversive Activities Control Act of 1950 (50 U.S.C. section 783(b)). The definitions, requirements, obligations, rights, sanctions, and liabilities created by said Executive Order and listed statutes are incorporated into this agreement and are controlling.

12. I have read this Agreement carefully and my questions, if any, have been answered. I acknowledge that the briefing officer has made available to me the Executive Order and statutes referenced in this agreement and its implementing regulation (32 CFR Part 2001, section 2001.80(d)(2)) so that I may read them at this time, if I so choose.

\* NOT APPLICABLE TO NON-GOVERNMENT PERSONNEL SIGNING THIS AGREEMENT.

SIGNATURE 	DATE 1/22/25	SOCIAL SECURITY NUMBER (See Notice below) [REDACTED]
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ORGANIZATION (IF CONTRACTOR, LICENSEE, GRANTEE OR AGENT, PROVIDE NAME, ADDRESS, AND, IF APPLICABLE, FEDERAL SUPPLY CODE NUMBER) (Type or print)  
 DEPARTMENT OF TREASURY  
 1500 PENNSYLVANIA AVE, NW  
 WASHINGTON, DC

WITNESS	ACCEPTANCE
THE EXECUTION OF THIS AGREEMENT WAS WITNESSED BY THE UNDERSIGNED.	THE UNDERSIGNED ACCEPTED THIS AGREEMENT ON BEHALF OF THE UNITED STATES GOVERNMENT.
SIGNATURE 	SIGNATURE 
DATE 1/22/25	DATE 1/22/25
NAME AND ADDRESS (Type or print) DEPARTMENT OF TREASURY 1500 PENNSYLVANIA AVE, NW WASHINGTON, DC	NAME AND ADDRESS (Type or print) DEPARTMENT OF TREASURY 1500 PENNSYLVANIA AVE, NW WASHINGTON, DC

**SECURITY DEBRIEFING ACKNOWLEDGEMENT**

I reaffirm that the provisions of the espionage laws, other federal criminal laws and executive orders applicable to the safeguarding of classified information have been made available to me; that I have returned all classified information in my custody; that I will not communicate or transmit classified information to any unauthorized person or organization; that I will promptly report to the Federal Bureau of Investigation any attempt by an unauthorized person to solicit classified information, and that I (have) (have not) (strike out inappropriate word or words) received a security debriefing.

SIGNATURE OF EMPLOYEE	DATE
-----------------------	------

NAME OF WITNESS (Type or print)	SIGNATURE OF WITNESS
---------------------------------	----------------------

**NOTICE:** The Privacy Act, 5 U.S.C. 552a, requires that federal agencies inform individuals, at the time information is solicited from them, whether the disclosure is mandatory or voluntary, by what authority such information is solicited, and what uses will be made of the information. You are hereby advised that authority for soliciting your Social Security Number (SSN) is Public Law 104-134 (April 26, 1996). Your SSN will be used to identify you precisely when it is necessary to certify that you have access to the information indicated above or to determine that your access to the information indicated has been terminated. Furnishing your Social Security Number, as well as other data, is voluntary, but failure to do so may delay or prevent you being granted access to classified information.

## Department of the Treasury Contact Reporting Requirement Acknowledgment

Department of the Treasury and bureau employees are required to report all contacts with individuals of any nationality, either within or outside the scope of the employees' official activities, in which:

- (1) *Illegal or unauthorized access is sought to classified or otherwise sensitive information and technology.*
- (2) *The employee is concerned that he/she may be the target of actual or attempted exploitation by a foreign entity.*
- (3) *The employee has contact with known or suspected foreign intelligence officers from any country.*

The focus is on reporting questionable contacts by individuals of any nationality regardless of the status of relations between his or her foreign country (or third-country nationals) and the United States.

These reporting requirements are NOT intended to infringe upon the rights of Treasury/bureau employees' free association, but to reinforce their responsibility for safeguarding classified and sensitive information and technology.

By signing this form, the employee is acknowledging that he or she has been briefed on the Treasury Department contact reporting requirements and conditions warranting reporting. Contact reports may be submitted in person and/or in writing to their Treasury/bureau security office. That office shall evaluate the employee's report and notify Treasury's Office of Counterintelligence for appropriate counterintelligence information purposes.

Employee Name Thomas Harry Krause Jr.

Signature  Date 1/22/25

The completed form will be filed in the individual's Treasury/bureau security file and a copy thereof may be provided to the individual.

TD F 15-03.4 (7/11)



Department of the Treasury  
**SECURITY ORIENTATION ACKNOWLEDGMENT**

<b>Name of Attendee</b>	<b>Last,</b>	<b>First,</b>	<b>Middle Initial (Type or print in ink)</b>
Krause		Thomas	H
<b>Date of Briefing</b>	<input checked="" type="checkbox"/> <b>Initial</b>	<input type="checkbox"/> <b>Refresher</b>	
1/22/25			

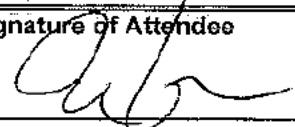

This security orientation program highlights the requirements and procedures prescribed by Executive Order for safeguarding classified national security information and applicable Treasury regulations for sensitive but unclassified information. Briefing programs on handling classified information are required of all U.S. Government agencies and departments that originate or process such information. This form documents subject areas presented to the above-named individual including, but not necessarily limited to:

General background information: classification categories (Top Secret, Secret and Confidential); original and derivative classification; classification authority; identification and markings; downgrading and declassification; safeguarding and storage; general restrictions on access; Need-to-Know; dissemination, accountability and transmittal; reproduction; destruction; security violations; loss and/or possible compromise and sensitive but unclassified information.

This form may be supplemented to include office or/bureau-specific security requirements and procedures under "remarks".

**REMARKS:**

**ACKNOWLEDGMENT:** I hereby acknowledge that I have been provided a security orientation program in the areas identified above. I understand that it is my responsibility to become familiar with Treasury security requirements and procedures for safeguarding both classified national security and sensitive but unclassified information.

<b>Signature of Attendee</b>	<b>Office and Location</b>	<b>Date</b>
	Main Treasury	1/22/25
<b>Signature of Briefing Official</b>		<b>Date</b>
	OIA	1/22/2025





<b>MEETING</b>	Payment Process Engagement – Kansas City Site Visit
<b>DATE/TIME</b>	Tuesday January 28 – Thursday January 30, 2025
<b>LOCATION</b>	<b>Fiscal Service Kansas City:</b> 4241 NE 34th Street Kansas City, MO 64117 <b>Point of Contact:</b> Joe Gioeli, [REDACTED]
<b>PARTICIPANTS</b>	Fiscal Service, Federal Reserve, SAIC, and Treasury organization personnel are participating. Final list of names to be added next week.
<b>PURPOSE</b>	As part of the ongoing Payment Process Engagement, conduct in-person technical and user deep dive sessions with applicable support teams. This agenda is designed to provide some general structure so that we can plan accordingly but can and will be <b>adjusted as needed</b> to ensure we address questions and associated conversations.

TIME	TOPIC	PARTICIPANTS(S)	NOTES
<i>Monday January 27, 2025 – All Times CT</i>			
<i>Travel to Kansas City</i>			
<i>Tuesday January 28, 2025 – All Times CT</i>			
9:00am CT	Arrive at Fiscal Service KC facility		Call Joe Gioeli upon arrival (Backup: Susan Robinson)
9:05am – 9:30am	Tom & Joe Daily Sync (Tom) IT Appointment for BFS GFE (Marko)	Fiscal Service, Treasury	
9:30am-10:00am	Meet and Greet with BFS Payments team	Fiscal Service, Treasury	
10:00am-10:30am	Tour of Check Printing Operations	Fiscal Service, Treasury	
10:30am-12:00pm	SPS Deep Dive and Demo	Fiscal Service, Treasury, SAIC	
12:00pm-1:00pm	Lunch Break (to be ordered in; please use supplied Order Form)		
1:00pm-2:30pm	PAM Deep Dive and Demo	Fiscal Service, Treasury	
2:30pm-3:30pm	ASAP Deep Dive and Demo	Fiscal Service, Treasury	
3:30pm-4:00pm	Next Steps & Closing	Fiscal Service, Treasury	
<i>Wednesday, January 29, 2025 – All Times CT</i>			
9:00am CT	Arrive at Fiscal Service KC facility		Call Joe Gioeli upon arrival (Backup: Susan Robinson)
9:05am-9:30am	Meet and Greet with FRB leadership team	Fiscal Service, Treasury, FRB	
9:30am-10:30am	PAM Product Team – technical discussion	Fiscal Service, Treasury, FRB	
10:30am-10:45am	Break		
10:45am-11:45am	ASAP Product Team – technical discussion	Fiscal Service, Treasury, FRB	
11:45am-12:00pm	Next Steps & Closing	Fiscal Service, Treasury, FRB	
12:00pm-1:30pm	Lunch Break		
1:30pm-3:30pm	Additional Follow ups/Discussions as needed; Plan for Thursday if needed	Fiscal Service, Treasury	
3:30pm-4:00pm	Next Steps & Closing	Fiscal Service, Treasury	
<i>Thursday, January 30, 2025 – All Times CT</i>			
<i>Buffer for any remaining necessary conversations</i>			



Fiscal Service is supporting the USDS/DOGE team during their 4–6-week engagement to understand payment processes and opportunities to advance payment integrity and fraud reduction goals.

Given the Fiscal Service’s authorities and role in enabling federal government financial operations, we must engage in a way that is secure and minimizes the likelihood of disruptions to ensure daily operations occur seamlessly. This is especially critical for those operations that support the facilitation of the 2025 tax season and the Debt Issuance Suspension Period. Disruptive impacts to technical operations, especially to payment systems such as the Payment Automation Manager (PAM) and Secure Payment System (SPS), could have catastrophic consequences that can range from debilitating U.S. economic security (and necessitating increases to the debt ceiling and defaults on U.S. Government financial obligations), endangering U.S. interests abroad, jeopardizing the delivery of lifeline payments to millions of constituents, and delaying or denying access to thousands of federal agency assets which would all erode public confidence. As such, ensuring operational excellence and resiliency remains the top priority for the Fiscal Service.

So that we can streamline communication, ensure clarity and alignment, and achieve the most optimal outcome for all parties, we have outlined our expectations for the duration of this engagement below.

## ENGAGEMENT SCOPE

**Objective:** Gain insight on money-in/money-out through the Fiscal Service payment systems while identifying efficiencies in the overall payment flow

**Timeframe:** 4-6 weeks

**Focus Area:** Payment Processing, to include Payment Automation Manager (PAM), Secure Payment System (SPS), and Automated Standard Application for Payments (ASAP)

**Deliverable:** Report to the Secretary of the Treasury outlining recommendations for greater efficiencies and potential improvements to the existing payment processes and associated technology and policies in support of payment integrity and fraud prevention.

### Key Points of Contact:

- **Treasury Department:** Matt Garber, PDO Fiscal Assistant Secretary
- **Bureau of the Fiscal Service:** Joe Gioeli, Deputy Commissioner for Transformation and Modernization

## ENGAGEMENT PROCESS

- **Central Management and Coordination with Treasury:** Matt Garber will serve as the Departmental executive point of contact to provide policy insights, and oversight/guidance of the Fiscal Service engagement. Joe Gioeli will serve as the main point of contact for information related to Fiscal Service systems, organizational structure, and business processes. Together, they will ensure Fiscal Service is being responsive within the bounds



of the law, Treasury policy, and Fiscal Service security protocols. All requests will be prioritized, actioned as quickly as feasible, and centrally managed and tracked accordingly. Preferably, requests should be sent via email to [joseph.gioeli@fiscal.treasury.gov](mailto:joseph.gioeli@fiscal.treasury.gov).

- **Status Meetings:** A meeting cadence will be established for the duration of the effort for a minimum of at least once per week and will include Tom Krause, Matt Garber, Joe Gioeli and other relevant stakeholder parties to ensure requests are being addressed. Additionally, a daily standup will be established between Tom Krause and Joe Gioeli to ensure alignment on the prioritization of activities, share status, and to discuss mitigation of any challenges that arise. The frequency of this meeting series can be adjusted based on need.
- **Access to and Management of Pertinent Artifacts:** Access will be granted to pertinent artifacts via a [shared folder](#) hosted on the Treasury Enterprise Content Manager (ECM) and permissioned to only necessary individuals. Proper handling of artifacts consistent with their labelling is required. Code will be shared and controlled via an alternate method.
- **Access to and Management of In Scope Systems and Data:** Fiscal Service will provision and issue the designated technical team member with a Fiscal Service laptop (i.e., government furnished equipment (GFE)) during Day 1 (i.e., January 28) of the Week 2 Site Visit to Kansas City. This will accelerate your ability to obtain access to the in-scope systems and code repositories you are seeking while also providing the Fiscal Service with a greater level of assurance that our risk posture is being managed in accordance with our established security protocols and existing control architecture.
- **Adherence to Fiscal Service Security Control Requirements:** To adhere to the Fiscal Service's established security protocols and existing control architecture, below are our required actions (including those already completed as of 1/24/2025).
  - 1) **Vetting:** Fiscal Service confirmed with the Treasury Department Security office the (2) individuals requesting access have been properly vetted with signed Nondisclosure Agreements (NDAs) and confirmed their access to Treasury and Fiscal Service information.
  - 2) **Use of FS GFE:** USDS/DOGE confirmed that only (1) individual (i.e., the designated technical team member) requires access to Fiscal Service systems and data at this time. This designated individual will be provisioned to a Fiscal Service provided workstation. The Fiscal Service GFE must be connected to the Fiscal Service VPN network at all times while work is performed with this engagement.
  - 3) **Data Handling:** Fiscal Service will provide USDS/DOGE safeguarding and handling instructions of Fiscal Service data for the duration of this engagement. USDS/DOGE confirmed Fiscal Service data will not leave the workstation during this engagement and will only be reviewed by cleared and authorized Treasury personnel.
  - 4) **System Access:** USDS/DOGE will be provided access to in scope payment systems source code via a secure code repository. USDS/DOGE will be provided Development access to the in scope payment systems. Any recommended changes to the payments source code will be appropriately tested by security and change management controls per Fiscal Service processes and procedures.





- 5) **Payment Processing User Access:** USDS/DOGE requested to be granted “over the shoulder” access to monitor Fiscal Service personnel conducting payment processing roles, which was approved by Fiscal Service on 1/23/25. Any additional system level access (i.e. application end user access and sysadmin privileged access) will be provisioned according to Fiscal Service processes and procedures.
- 6) **Attestation:** USDS/DOGE agreed to provide Fiscal Service an attestation statement (template to be provided by the Fiscal Service) at the end of the engagement that confirms:
  - a. The provided Fiscal Service information has been properly destroyed.
  - b. Confirmation that no known suspicious or unauthorized access to Fiscal Service provided GFE and data occurred during this engagement.
- **Review of Recommendations:** Fiscal Service will be provided the report deliverable, have the opportunity to clarify any technical or process inaccuracies, and provide any necessary policy feedback or context before finalization.

**ENGAGEMENT TIMELINE AND KEY ACTIVITIES**

Week 1 <i>Jan 21-24</i>	Week 2 <i>Jan 27-31</i>	Week 3 <i>Feb 3-7</i>	Week 4 <i>Feb 10-14</i>	Weeks 5-6 <i>Feb 17-28</i>
<ul style="list-style-type: none"> <li>✓ Introductory Meetings</li> <li>✓ Establish Status Meeting(s)</li> <li>✓ Establish shared folder on Treasury ECM</li> </ul>	<p><i>Meetings in Kansas City, MO</i></p> <ul style="list-style-type: none"> <li>• Issue FS laptop to designated technical team member (1/28)</li> <li>• Conduct technical deep dives and user deep dives</li> </ul>	<ul style="list-style-type: none"> <li>• Address follow-ups identified during deep dives as needed/feasible</li> <li>• Develop report deliverable (<i>Engagement team</i>)</li> </ul>	<ul style="list-style-type: none"> <li>• Continue development of report deliverable</li> <li>• Address questions as needed/feasible</li> <li>• Conduct review of recommendations</li> <li>• Complete Attestation activities</li> </ul>	<ul style="list-style-type: none"> <li>• Submit final report</li> </ul>

### Preliminary Work Plan for IT Accesses

GAO has found inconsistent reporting, lack of traceability, and need for improved controls with the Treasury's Cash Accounting Reporting System (CARS). (Link and summary below.) Mandating agencies (via Certifying Officers – COs) to use TAS / BETC for all payments at the time of payment certification as well as requiring COs to provide a short plain English reason why the payment is being requested would dramatically:

- 1) improve financial reporting auditability, accuracy and transparency
- 2) reduce the risk of improper payments
- 3) ensure all payments are supported by an appropriation, receipt, or other fund account

For background, TAS (Treasury Account Symbol) / BETC (Business Event Type Code) ([Account Symbol \(also known as the Treasury Account Symbol or TAS\) | TFX: Treasury Financial Experience](#)) is used to classify financial transactions across all federal government agencies and is the backbone for CARS (Central Accounting Reporting System) [Central Accounting Reporting System](#). Today, Treasury has three primary payments systems (PAM, ASAP, ITS.gov) that support payments on behalf of ~250 agencies. These payment systems (as well all other payment systems not managed by Treasury) feed into CARS. PAM is the most widely used. Within PAM, there are two types of payments (Type A and Type B). Type A is for high value, low volume and typically uses Fedwire. Type B is lower value, higher volume payments and typically uses ACH. We understand (but have not verified) that COs are required to input the TAS / BETC for every payment except for Type B payments in PAM. As a result, a significant percentage of payments are re-classified by agency CFO organizations in CARS well AFTER payments have been certified and processed. In fact, CARS operators use "default" accounts because they cannot tie many of the payments that BFS processes to an appropriation, receipt, or other fund account at the time of the payment.

System access as well as on-going discussions with subject matter experts are critical to understanding and verifying how these payment and accounting systems work. Without this, common sense recommendations such as this one as well as detailed plans to implement these recommendations are not possible. My discussions with both the disbursement team in Kansas City as well as the CARS team in Parkersburg, WV suggest this mandate would be widely welcomed by the operating teams at BFS. I would also submit that OMB and the White House would strongly support this mandate. The mandate would require a code change to PAM whereby a submitted payment file would be sent back to the CO prior to processing if the TAS/BETC and the reason for payment are not filled out. Based on initial discussions with the PAM technical team (from the FED KC office), this is a very modest code change and can be executed quickly.

**From:** [Katz, Daniel](#)  
**To:** [Garber, Matthew](#); [Krause, Tom](#); [York, John](#); [Pilkerton, Christopher](#); [Froman, Eric](#); [Sonfield, Brian](#); [Briskin, Michael](#); [Sessions, William](#); [Arcadi, Antony](#); [Gioeli III, Joseph](#); [Elez, Marko](#); [Robinson, Vona S.](#)  
**Cc:** [Marko Elez](#); [Cheng, Lillian L.](#)  
**Subject:** RE: IT Check In Follow Up  
**Date:** Monday, February 3, 2025 6:42:53 PM

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Great, thanks for the update Matt.

Dan Katz

M: [REDACTED]

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**From:** Garber, Matthew <Matthew.Garber2@treasury.gov>  
**Sent:** Monday, February 3, 2025 4:18 PM  
**To:** Katz, Daniel <Daniel.Katz@treasury.gov>; Krause, Tom <Thomas.Krause@treasury.gov>; York, John <John.York@treasury.gov>; Pilkerton, Christopher <Christopher.Pilkerton@treasury.gov>; Froman, Eric <Eric.Froman@treasury.gov>; Sonfield, Brian <Brian.Sonfield@treasury.gov>; Briskin, Michael <Michael.Briskin@treasury.gov>; Sessions, William <William.Sessions@treasury.gov>; Arcadi, Antony <Tony.arcadi@Treasury.gov>; Gioeli III, Joseph <joseph.gioeli@fiscal.treasury.gov>; Elez, Marko <Marko.Elez@treasury.gov>; Robinson, Vona S. <Susan.Robinson@fiscal.treasury.gov>  
**Cc:** Marko Elez <marko.elez@fiscal.treasury.gov>; Cheng, Lillian L. <lillian.cheng@fiscal.treasury.gov>  
**Subject:** IT Check In Follow Up

Thanks everyone for getting together this afternoon. Attached is the spreadsheet we reviewed with the access levels updated based on our conversation.

For the items that Fiscal can implement independently we will get moving immediately, and Marko should see read-only soon.

For the items the Fed needs to implement we're working with the lawyers on the language now. Good conversations with our counterparts, so I do not currently expect any issues, although it may be tomorrow before it's finalized.

Thanks,

Matt

SYSTEM	ORIGINAL ACCESS REQUEST	ACCESS GRANTED AS OF FEB. 1	RECOMMENDED CHANGE(S) TO CURRENT (FEB 1) ACCESS LEVELS	MITIGATION(S) AND/OR ADDITIONAL CONTROL(S)	Implementor
PAM	PAM Source Code	Full access in cordoned off (i.e., not production) repository	No recommended change	Requires joint deployment for all environments with the Fiscal Service/Federal Reserve	Completed
	PAM Production Database Administrator	Read-only access in production	Read-only access in production with specific time windows to avoid production outages (would jointly work database changes through lower environments).	Implement and adhere to Fiscal Service's recommended change	Fiscal Service
	PAM Production Developer	None	Revisit with Disbursing and Debt Management (DDM)	Implement and adhere to Fiscal Service's recommended change	N/A
	PAM Production Driver	None ( <i>approvals in process: submitted required forms to DDM</i> )	Grant Read-Only access	Implement and adhere to Fiscal Service's recommended change	Fiscal Service
	Access to PAM file system	Read-only access	No recommended change		Fiscal Service
SPS	SPS Source Code	Full access in cordoned off (i.e., not production) repository	No recommended change	Requires joint deployment for all environments with the Fiscal Service/Federal Reserve	Completed
	SPS Production Database Administrator	Read-only access in production	Read-only access in production with specific time windows to avoid production outages (would jointly work database changes through lower environments).	Implement and adhere to Fiscal Service's recommended change	Fiscal Service
	SPS Production Administrator (UI SPSAdmin)	None ( <i>approvals in process: submitted required forms to DDM</i> )	ISS will work with the SPS team to determine appropriate level of access (e.g., read-only)	Implement and adhere to Fiscal Service's recommended change(s)	Fiscal Service
ASAP	ASAP Source Code	Full access in cordoned off (i.e., not production) repository	No recommended change	Requires joint deployment for all environments with the Fiscal Service/Federal Reserve	Completed
	ASAP Database Administrator	None	Read-only access in production with specific time windows to avoid production outages (would jointly work database changes through lower environments).	Implement and adhere to Fiscal Service's recommended change(s)	Federal Reserve
CARS	CARS Database Administrator	None ( <i>approvals in process: submitted request for Read-Only to Federal Reserve</i> )	Read-only access in production with specific time windows to avoid production outages (would jointly work database changes through lower environments).	Implement and adhere to Fiscal Service's recommended change(s)	Federal Reserve
	CARS SysAdmin	Will need to better understand objective	Revisit with Fiscal Accounting	Consider CARS Auditor Role	Fiscal Service
ITS.gov	ITS.gov Operator	None	Revisit with Disbursing and Debt Management (DDM)	Identifying more appropriate read-only role	Fiscal Service
	ITS.gov Database Administrator	None	Read-only access in production with specific time windows to avoid production outages (would jointly work database changes through lower environments).	Implement and adhere to Fiscal Service's recommended change	Federal Reserve

**From:** [Matthew.Garber2@treasury.gov](mailto:Matthew.Garber2@treasury.gov)  
**To:** [Timothy E. Gribben](mailto:Timothy.E.Gribben)  
**Cc:** [Matthew J. Miller](mailto:Matthew.J.Miller); [Susan Robinson](mailto:Susan.Robinson); [Lillian Cheng](mailto:Lillian.Cheng); [Joseph Gioeli III](mailto:Joseph.Gioeli.III); [Nathaniel Reboja](mailto:Nathaniel.Reboja)  
**Subject:** Confirmation to Proceed  
**Date:** Sunday, January 26, 2025 5:42:08 PM

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Tim,

Please consider this note your approval/direction to move forward with the process outlined below.

Thanks to the DDM and ISS teams for actioning against the request over the weekend.

Matt

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**From:** Katz, Daniel <[Daniel.Katz@treasury.gov](mailto:Daniel.Katz@treasury.gov)>  
**Sent:** Sunday, January 26, 2025 6:34 PM  
**To:** Garber, Matthew <[Matthew.Garber2@treasury.gov](mailto:Matthew.Garber2@treasury.gov)>

Thanks Matt for actioning this so quickly. The below process looks good and appropriate to me. [REDACTED]

Appreciate the work over the weekend as well.

Dan Katz  
[REDACTED]

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**From:** Garber, Matthew <[Matthew.Garber2@treasury.gov](mailto:Matthew.Garber2@treasury.gov)>  
**Sent:** Sunday, January 26, 2025 4:31:02 PM  
**To:** Katz, Daniel <[Daniel.Katz@treasury.gov](mailto:Daniel.Katz@treasury.gov)>

Dan,

We've successfully set up the technical and process adjustments at Fiscal to support this request within the appropriate bounds. A reminder of the process we discussed and will execute against beginning Monday:

- **Fiscal will intercept USAID payments files prior to ingestion into our PAM/SPS systems** (*this is in place now and can begin immediately*)
  - We developed a process to intercept the file, and additional flags to ensure we catch all USAID payment requests through our systems
  - Fiscal will manually pull an unredacted and unmodified copy to share with State officials
  - Individual ITS payment requests will be flagged and shared for review as needed

- NOTE: Fiscal will not provide any preliminary review or determination on the payments, and will not edit or modify the file at any point in this process
- **Fiscal will deliver the USAID payment file to the designated State officials for review**
  - Fiscal has set up a secure portal where the designated officials will be able to access the files (*this will have encryption and MFA, and has completed third party pen testing*)
  - We developed a user guide and instructions to support State officials in using the portal
    - We can provide additional technical support as needed
  - We will deliver the file once-a-day according to the normal USAID payment schedule
- **State officials will review and provide a determination to Fiscal on whether or not to release the file into our normal payment processes**
  - We will provide a template for State officials to provide the determination back to Fiscal
  - Files that are determined by State as able to move forward will be released by Fiscal into PAM/SPS or ITS systems
  - Files that are determined by State as unable to move forward will be returned to USAID for correction
    - *State will work directly with USAID to provide any necessary corrections prior to resubmission.*
- **Payment files that are cleared by State and released into our normal payment processes will continue to be certified by USAID certifying officers prior to payment**

While we will begin intercepting the USAID files prior to ingestion immediately on Monday, we will not transmit files to State until **we receive confirmation from the appropriate security officers (likely in the CIO office) that:**

- the individuals at State accessing and reviewing the information have the appropriate clearances, etc
- the necessary data security methods are in place at State and those standards have been communicated and agreed to by the individuals accessing the files
- NOTE: We are still working to connect with the appropriate IT/Security/Technical individuals at State, which we believe will happen as soon as Monday morning.

Additional note:

- As mentioned, these files are mixed and contain a variety of payments. We recommend State ensures they can review these files and provide a determination same-day to avoid any unintended downstream issues.

Please confirm we are still good to execute this plan beginning Monday. Happy to hop on a call if needed.

Thanks,

Matt



**From:** [Marko.Elez@treasury.gov](mailto:Marko.Elez@treasury.gov)  
**To:** [Marko Elez](#)  
**Subject:** Fw: 4 Additional Accounts Identified for State Review  
**Date:** Friday, January 31, 2025 12:15:38 PM

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**From:** Krause, Tom  
**Sent:** Friday, January 31, 2025 11:14:30 AM  
**To:** Elez, Marko ; Robinson, Vona S.  
**Subject:** Fw: 4 Additional Accounts Identified for State Review

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**From:** Katz, Daniel  
**Sent:** Thursday, January 30, 2025 9:12 AM  
**To:** Krause, Tom ; Garber, Matthew ; Froman, Eric ; Sonfield, Brian  
**Cc:** Pilkerton, Christopher  
**Subject:** RE: 4 Additional Accounts Identified for State Review  
Given the below analysis, the Secretary is comfortable proceeding as proposed. Thank you.  
Dan Katz  
M: [REDACTED]

---

**From:** Krause, Tom  
**Sent:** Thursday, January 30, 2025 8:22 AM  
**To:** Garber, Matthew ; Froman, Eric ; Katz, Daniel ; Sonfield, Brian  
**Cc:** Pilkerton, Christopher  
**Subject:** Re: 4 Additional Accounts Identified for State Review  
Ok. We will proceed on preparing these pending Dan's confirmation from the Secretary.

---

**From:** Garber, Matthew <[Matthew.Garber2@treasury.gov](mailto:Matthew.Garber2@treasury.gov)>  
**Sent:** Wednesday, January 29, 2025 8:31 PM  
**To:** Krause, Tom <[Thomas.Krause@treasury.gov](mailto:Thomas.Krause@treasury.gov)>; Froman, Eric <[Eric.Froman@treasury.gov](mailto:Eric.Froman@treasury.gov)>; Katz, Daniel <[Daniel.Katz@treasury.gov](mailto:Daniel.Katz@treasury.gov)>; Sonfield, Brian <[Brian.Sonfield@treasury.gov](mailto:Brian.Sonfield@treasury.gov)>  
**Cc:** Pilkerton, Christopher <[Christopher.Pilkerton@treasury.gov](mailto:Christopher.Pilkerton@treasury.gov)>  
**Subject:** Re: 4 Additional Accounts Identified for State Review

[REDACTED]

Thanks

---

**From:** Krause, Tom <[Thomas.Krause@treasury.gov](mailto:Thomas.Krause@treasury.gov)>  
**Date:** January 29, 2025 at 9:22:17 PM EST  
**To:** Garber, Matthew <[Matthew.Garber2@treasury.gov](mailto:Matthew.Garber2@treasury.gov)>, Froman, Eric



<[Eric.Froman@treasury.gov](mailto:Eric.Froman@treasury.gov)>, Katz, Daniel <[Daniel.Katz@treasury.gov](mailto:Daniel.Katz@treasury.gov)>, Sonfield, Brian <[Brian.Sonfield@treasury.gov](mailto:Brian.Sonfield@treasury.gov)>  
**Cc:** Pilkerton, Christopher <[Christopher.Pilkerton@treasury.gov](mailto:Christopher.Pilkerton@treasury.gov)>  
**Subject:** Re: 4 Additional Accounts Identified for State Review  
Matt -

---

**From:** Garber, Matthew <[Matthew.Garber2@treasury.gov](mailto:Matthew.Garber2@treasury.gov)>  
**Sent:** Wednesday, January 29, 2025 8:16 PM  
**To:** Froman, Eric <[Eric.Froman@treasury.gov](mailto:Eric.Froman@treasury.gov)>; Krause, Tom <[Thomas.Krause@treasury.gov](mailto:Thomas.Krause@treasury.gov)>; Katz, Daniel <[Daniel.Katz@treasury.gov](mailto:Daniel.Katz@treasury.gov)>; Sonfield, Brian <[Brian.Sonfield@treasury.gov](mailto:Brian.Sonfield@treasury.gov)>  
**Cc:** Pilkerton, Christopher <[Christopher.Pilkerton@treasury.gov](mailto:Christopher.Pilkerton@treasury.gov)>  
**Subject:** Re: 4 Additional Accounts Identified for State Review

[REDACTED]

The team will have a better understanding of the file set up in the morning.

---

**From:** Froman, Eric <[Eric.Froman@treasury.gov](mailto:Eric.Froman@treasury.gov)>  
**Date:** January 29, 2025 at 9:05:10 PM EST  
**To:** Krause, Tom <[Thomas.Krause@treasury.gov](mailto:Thomas.Krause@treasury.gov)>, Katz, Daniel <[Daniel.Katz@treasury.gov](mailto:Daniel.Katz@treasury.gov)>, Sonfield, Brian <[Brian.Sonfield@treasury.gov](mailto:Brian.Sonfield@treasury.gov)>  
**Cc:** Pilkerton, Christopher <[Christopher.Pilkerton@treasury.gov](mailto:Christopher.Pilkerton@treasury.gov)>, Garber, Matthew <[Matthew.Garber2@treasury.gov](mailto:Matthew.Garber2@treasury.gov)>  
**Subject:** Re: 4 Additional Accounts Identified for State Review

[REDACTED]

Adding Matt for thoughts on any operational issues.

---

**From:** Krause, Tom <[Thomas.Krause@treasury.gov](mailto:Thomas.Krause@treasury.gov)>  
**Sent:** Wednesday, January 29, 2025 7:57 PM  
**To:** Froman, Eric <[Eric.Froman@treasury.gov](mailto:Eric.Froman@treasury.gov)>; Katz, Daniel <[Daniel.Katz@treasury.gov](mailto:Daniel.Katz@treasury.gov)>; Sonfield, Brian <[Brian.Sonfield@treasury.gov](mailto:Brian.Sonfield@treasury.gov)>  
**Cc:** Pilkerton, Christopher <[Christopher.Pilkerton@treasury.gov](mailto:Christopher.Pilkerton@treasury.gov)>  
**Subject:** Re: 4 Additional Accounts Identified for State Review  
Correct. Same process.

---

**From:** Froman, Eric <[Eric.Froman@treasury.gov](mailto:Eric.Froman@treasury.gov)>  
**Sent:** Wednesday, January 29, 2025 6:39 PM

**To:** Katz, Daniel <[Daniel.Katz@treasury.gov](mailto:Daniel.Katz@treasury.gov)>; Sonfield, Brian <[Brian.Sonfield@treasury.gov](mailto:Brian.Sonfield@treasury.gov)>

**Cc:** Krause, Tom <[Thomas.Krause@treasury.gov](mailto:Thomas.Krause@treasury.gov)>; Pilkerton, Christopher <[Christopher.Pilkerton@treasury.gov](mailto:Christopher.Pilkerton@treasury.gov)>

**Subject:** Re: 4 Additional Accounts Identified for State Review

We're still assuming that the paying agencies would give us the relevant instructions before they certify the payment, right? That is, this would be part of the early stages of the payment process?

---

**From:** Katz, Daniel <[Daniel.Katz@treasury.gov](mailto:Daniel.Katz@treasury.gov)>

**Sent:** Wednesday, January 29, 2025 6:39:18 PM

**To:** Froman, Eric <[Eric.Froman@treasury.gov](mailto:Eric.Froman@treasury.gov)>; Sonfield, Brian <[Brian.Sonfield@treasury.gov](mailto:Brian.Sonfield@treasury.gov)>

**Cc:** Krause, Tom <[Thomas.Krause@treasury.gov](mailto:Thomas.Krause@treasury.gov)>; Pilkerton, Christopher <[Christopher.Pilkerton@treasury.gov](mailto:Christopher.Pilkerton@treasury.gov)>

**Subject:** FW: 4 Additional Accounts Identified for State Review

Hi Eric and Brian –

See below from Tom. He is proposing to utilize the same process we have put together with the State Department with respect to USAID payments that may be implicated by the Foreign Aid EO for four additional accounts, as explained below. [REDACTED]

Thank you.

Dan Katz

M: [REDACTED]

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**From:** Krause, Tom <[Thomas.Krause@treasury.gov](mailto:Thomas.Krause@treasury.gov)>

**Sent:** Wednesday, January 29, 2025 6:17 PM

**To:** Katz, Daniel <[Daniel.Katz@treasury.gov](mailto:Daniel.Katz@treasury.gov)>

**Subject:** 4 Additional Accounts Identified for State Review

Dan –

There are 4 additional accounts where I would like to implement the same process we used for USAID here at BFS. These four have been identified as being subject to the foreign aid EO. In these 4 cases, we would send any payment requests across our three main systems to our State designee(s) for sign off before putting through for processing. This will ensure we are not making payments that directly violate the EO. I would like Secretary Bessent's go ahead to proceed on these four. I can call with additional info.

Regards,

Tom

Millennium Challenge Corporation ([About MCC](#))

Agency ID: [REDACTED]

TAS: [REDACTED]

HHS – Refugee and Entrant Assistance, Admin for Children and Families (2 subaccounts in HHS)

Agency ID: [REDACTED]

TAS: [REDACTED]

HHS – Gifts and Donations Office of Refugee Resettlement, Admin for Children and Families

Agency ID: [REDACTED]

TAS: [REDACTED]

*85 FR 11776*

Vol. 85, No. 039, Thursday, February 27, 2020

Notices

**Reporter**

85 FR 11776 \*

*Federal Register* > 2020 > February > Thursday, February 27, 2020  
> Notices > Bureau of the Fiscal Service, Department of the Treasury.

**Title: Privacy Act of 1974; System of Records**

**Action:** Notice of Systems of Records.

**Agency**

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Bureau of the Fiscal Service, Department of the Treasury.

**Synopsis**

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**SUMMARY:** In accordance with the requirements of the Privacy Act of 1974, the Department of the Treasury, Bureau of the Fiscal Service is publishing its inventory of Privacy Act systems of records.

**Text**

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[\*11776]

**SUPPLEMENTARY INFORMATION:**

In accordance with the Privacy Act of 1974, [5 U.S.C. 552a](#), and the Office of Management and Budget (OMB), Circular No. A-108, the Department of the Treasury, Bureau of the Fiscal Service has completed a review of its Privacy Act systems of records notices to identify changes that will more accurately describe these records and is publishing an inventory of them.

On October 7, 2012, the Secretary of the Treasury issued Treasury Order 136-01, establishing within the Department of the Treasury (“Department”) the Bureau of the Fiscal Service (“Fiscal Service”). The new bureau consolidated the bureaus formerly known as the Financial Management Service (“FMS”) and the Bureau of the Public Debt (“BPD”). Treasury Order 136-01 was published in the **Federal Register** on May 24, 2013 (*78 FR 31629*). Fiscal Service

is consolidating both legacy bureau's systems of records into a new set of SORNs under the Fiscal Service name.<sup>1</sup>

In some instances, FMS and BPD's SORNs have been renumbered. In other cases, parts of the legacy bureaus' SORNs were combined into one or more SORNs. No SORN was rescinded in its entirety.

Fiscal Service's SORNs are derived as follows:

Systems of records notice .001 (Administrative Records) is derived from FMS system of records notice .001 (Administrative Records) and BPD system of records notice .001 (Human Resources and Administrative Records).

System of records notice .002 (Payment Records) is derived from FMS system of records notice .002 (Payment Records—Treasury/FMS).

System of records notice .003 (Claims and Inquiry Records on Treasury Checks, and International Claimants) is derived from FMS system of records notice .003 (Claims and Inquiry Records on Treasury Checks, and International Claimants).

System of records notice .004 (Education and Training Records) is derived from BPD system of records notice .001 (Human Resources and Administrative Records) and FMS system of records notice .004 (Education and Training Records).

System of records notice .005 (Fiscal Service Personnel Records) is derived from BPD system of records notice .001 (Human Resources and Administrative Records) and FMS system of records notice .005 (FMS Personnel Records).

System of records notice .006 (Employee Assistance Records) is derived from BPD system of records notice .005 (Employee Assistance Records).

System of records notice .007 (Direct Deposit Enrollment Records) is derived from FMS system of records notice .006 (Direct Deposit Enrollment Records).

System of records notice .008 (Mailing List Records) is derived from FMS system of records notice .008 (Mailing List Records—Treasury/FMS).

System of records notice .009 (Delegations and Designations of Authority for Disbursing Functions) is derived from FMS system of records notice .010 (Records of Accountable Offices' Authority with Treasury).

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<sup>1</sup> BPD last published its systems of records in their entirety on August 17, 2011, at [76 FR 51128](#). FMS last published its systems of records in their entirety on October 15, 2012, at [77 FR 62602](#). Since consolidation, Fiscal Service published two additional systems of records: (1) Do Not Pay Payment Verification Records, published on December 9, 2013, at [78 FR 73923](#); and (2) OneVoice Customer Relationship Management, published on September 19, 2014, at [79 FR 56433](#).

System of records notice .010 (Pre-complaint Counseling and Complaint Activities) is derived from FMS system of records notice .012 (Pre-Complaint Counseling and Complaint Activities).

System of records notice .011 (Gifts to the United States) is derived from FMS system of records notice .013 (Gifts to the United States).

System of records notice .012 (Debt Collection Operations System) is derived from FMS system of records notice .014 (Debt Collection Operations System).

System of records notice .013 (Collections Records) is derived from FMS system of records notice .017 (Collections Records).

System of records notice .014 (United States Securities and Access) is derived from BPD systems of records notices .002 (United States Savings-Type Securities), .003 (United States Securities (Other than Savings-Type Securities)), and .008 (Retail Treasury Securities Access Application).

System of records notice .015 (Physical Access Control System) is derived from BPD system of records notice .004 (Controlled Access Security System).

System of records notice .016 (Health Unit Records) is derived from BPD system of records notice .006 (Health Service Program Records).

System of records notice .017 (Do Not Pay Payment Verification Records) is derived from Fiscal Service system of records notice .023 (Do Not Pay Payment Verification Records—Department of the Treasury/Bureau of the Fiscal Service).

System of records notice .018 (OneVoice Customer Relationship Management) is derived from Fiscal Service system of records notice .024 (OneVoice Customer Relationship Management—Department of the Treasury/Bureau of the Fiscal Service).

System of records notice .019 (Gifts to Reduce the Public Debt) is derived from BPD system of records notice .007 (Gifts to Reduce the Public Debt).

System of records notice .020 (U.S. Treasury Securities Fraud Information System) is derived from BPD system of records notice .009 (U.S. Treasury Securities Fraud Information System).

Fiscal Service is adding one routine use to all of the systems of records to share information with other federal agencies or federal entities as required by OMB Memorandum 17-12, “Preparing for and Responding to a Breach of Personally Identifiable Information,” dated January 3, 2017, to assist Treasury/Fiscal Service in responding to a suspected or confirmed breach or prevent, minimize, or remedy the risk of harm to the requesters, Treasury/Fiscal Service, the Federal Government, or national security.

Fiscal Service also slightly expanded the scope of SORN .003 (Claims and Inquiry Records on Treasury Checks, and International Claimants) to cover payments that will be made pursuant to the Guam World War II Loyalty Recognition Act, *Public Law 114-328*, Title XVII. This change is consistent with the purpose of the SORN and many other payments made pursuant to similar statutes and requirements. [\*11777]

In addition to the changes noted above, this notice updates some of the system of records notices, changes references in the systems of records notices, and makes other administrative changes to reflect the consolidation into the Fiscal Service, such as updating the procedures for gaining access to, or contesting the contents of, records in these systems of records.

This notice covers all systems of records adopted by the Fiscal Service as of February 27, 2020. The system notices are reprinted in their entirety following the Table of Contents.

**Ryan Law,**

*Deputy Assistant Secretary for Privacy, Transparency, & Records.*

## **Table of Contents**

Fiscal Service

TREASURY/Fiscal Service .001—Administrative Records

TREASURY/Fiscal Service .002—Payment Records

TREASURY/Fiscal Service .003—Claims and Inquiry Records on Treasury Checks, and International Claimants

TREASURY/Fiscal Service .004—Education and Training Records

TREASURY/Fiscal Service .005—Fiscal Service Personnel Records

TREASURY/Fiscal Service .006—Employee Assistance Records

TREASURY/Fiscal Service .007—Direct Deposit Enrollment Records

TREASURY/Fiscal Service .008—Mailing List Records

TREASURY/Fiscal Service .009—Delegations and Designations of Authority for Disbursing Functions

TREASURY/Fiscal Service .010—Pre-complaint Counseling and Complaint Activities

TREASURY/Fiscal Service .011—Gifts to the United States

TREASURY/Fiscal Service .012—Debt Collection Operations System

TREASURY/Fiscal Service .013—Collections Records  
TREASURY/Fiscal Service .014—United States Securities and Access  
TREASURY/Fiscal Service .015—Physical Access Control System  
TREASURY/Fiscal Service .016—Health Unit Records  
TREASURY/Fiscal Service .017—Do Not Pay Payment Verification Records  
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TREASURY/Fiscal Service .019—Gifts to Reduce the Public Debt  
TREASURY/Fiscal Service .020—U.S. Treasury Securities Fraud Information System

**Treasury/Fiscal Service .001**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .001—Administrative Records.

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Bureau of the Fiscal Service, U.S. Department of the Treasury, 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785.

**SYSTEM MANAGER(S):**

(1) For Retiree Mailing Records: Legislative and Public Affairs, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785; and

(2) For all other records: Assistant Commissioner, Office of Management, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785.

#### **AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

[5 U.S.C. 301](#); [40 U.S.C. 581](#).

#### **PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected and maintained about Fiscal Service employees, their relocating family members, contract vendors, retirees and other individuals if: (1) The Fiscal Service has incurred obligations on their behalf; (2) the individual has requested mailings from Fiscal Service or other Treasury publications; (3) the individual has a parking permit issued by the Fiscal Service; (4) the individual has been involved in a motor vehicle accident that may involve the Fiscal Service; (5) the individual has engaged in certain transactions in connection with their employment with the Fiscal Service or (6) the individual is a vendor to the Fiscal Service.

The information contained in the records assists Fiscal Service in properly tracking its use of appropriated and non-appropriated funding to acquire goods and services received from contractors and other federal agencies, as well as non-payroll related reimbursements to employees. Fiscal Service maintains these records to ensure that financial records pertaining to procurement, financial management and relocation are maintained accurately. For those receiving mailings, information contained in the records assists Fiscal Service in establishing and maintaining a robust relationship with its customers, as well as maintaining its commitment to actively engage employees, even those who have retired from the Civil Service.

#### **CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Fiscal Service employees (including current and former employees), family members of relocating Fiscal Service employees, contractors, vendors, sellers/purchasers associated with



residential transactions involving certain relocating Fiscal Service employees, and individuals requesting various Treasury publications.

### **CATEGORIES OF RECORDS IN THE SYSTEM:**

- (1) Motor vehicle accident reports and parking permits;
- (2) Procurement records relating to: (a) Contractors/vendors that are individuals; and (b) government purchase cardholders. These records may include, for example, the name, Social Security number and credit card number for employees who hold Government-use cards, as well as procurement integrity certificates;
- (3) Financial management records that relate to government travel, vendor accounts, other employee reimbursements, interagency transactions, employee pay records, vendor registration data, purchase card accounts and transactions, and program payment agreements;
- (4) Relocation records that relate to employee relocation travel authorizations, reimbursements, and related vendor invoices;
- (5) Retiree mailing records that contain the name and address furnished by Fiscal Service retirees that request mailings of newsletters and other special mailings; and
- (6) Distribution Lists of Individuals Requesting Various Treasury Publications.

### **RECORD SOURCE CATEGORIES:**

Information in this system of records is provided by Fiscal Service personnel, contractors/vendors or individuals requesting Treasury publications.

### **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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

- (1) General Services Administration for driver's permits, parking permits, accident reports, and credentials;
- (2) Government Accountability Office or Fiscal Service contractors for servicing the public on Treasury publications and managing subscriptions to the appropriate publications;
- (3) Appropriate federal, state, local or foreign agencies responsible for investigating or prosecuting a violation **[\*11778]** or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;
- (4) The Office of Personnel Management, the Merit Systems Protection Board, the Equal Employment Opportunity Commission, and the Federal Labor Relations Authority upon authorized request;
- (5) A federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;
- (6) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;

- (7) Foreign governments in accordance with formal or informal international agreements;
- (8) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;
- (9) Contractors for the purpose of processing personnel and administrative records;
- (10) Unions recognized as exclusive bargaining representatives under 5 U.S.C. Chapter 71, arbitrators, and other parties responsible for the administration of the federal labor-management program if needed in the performance of their authorized duties;
- (11) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation;
- (12) Federal agencies, state agencies, and local agencies for tax purposes;
- (13) Private creditors for the purpose of garnishing wages of an employee if a debt has been reduced to a judgment;
- (14) Authorized federal and non-federal entities for use in approved computer matching efforts, limited to those data elements considered necessary in making a determination of eligibility under particular benefit programs administered by those agencies or entities, to improve program integrity, and to collect debts and other monies owed to those agencies or entities or to the Fiscal Service;
- (15) Other federal agencies to effect salary or administrative offset for the purpose of collecting a debt, except that addresses obtained from the Internal Revenue Service shall not be disclosed to other agencies;
- (16) Next-of-kin, voluntary guardians, and other representative or successor in interest of a deceased or incapacitated employee or former employee;

(17) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906;

(18) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and

(19) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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 in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

#### **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records may be retrieved by name, Social Security number, other assigned identifier, and Treasury publication.

#### **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

## **DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

In accordance with section (b)(12) of the Privacy Act of 1974, as amended ([5 U.S.C. 552a\(b\)\(12\)](#)), disclosures may be made from this system of records to “consumer reporting agencies”<sup>2</sup> in accordance with section 3711(e) of title 31. The purpose of the disclosure is to aid in the collection of outstanding debts owed to the Federal Government. After the prerequisites of [31 U.S.C. 3711](#) have been followed, the Fiscal Service may disclose information necessary to establish the identity of the individual responsible for the claim, including name, address, and taxpayer identification number; the amount, status, and history of the claim; and the agency or program under which the claim arose.

## **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

## **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

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<sup>2</sup> “Consumer reporting agency” is defined in [31 U.S.C. 3701\(a\)\(3\)](#).

## **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record [\*11779] pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

## **HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on August 17, 2011 (*76 FR 51128*) as the Department of the Treasury, Bureau of the Public Debt .001—Human Resources and Administrative Records and on October 15, 2012 ([77 FR 62602](#)) as the Department of the Treasury, Financial Management Service .001—Administrative Records.

**Treasury/Fiscal Service .002**

## **SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .002—Payment Records

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Kansas City Regional Financial Center, Bureau of the Fiscal Service, U.S. Department of the Treasury, 4241 NE 34th Street, Kansas City, MO 64117; Bureau of the Fiscal Service, 320 Avery Street, Parkersburg, WV 26106-1328. Records are also located throughout the United States at Federal Reserve Banks and financial institutions acting as Treasury's fiscal and financial agents. The addresses of the fiscal and financial agents may be obtained from the system manager below.

**SYSTEM MANAGER(S):**

Chief Disbursing Officer, Assistant Commissioner, Payment Management, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse "E", Landover, MD 20785.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

[5 U.S.C. 301](#); [31 U.S.C. 321](#), 3301, 3321, 3321 note, 3325, 3327, 3328, 3332, 3334, 3720.

**PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected from federal government entities that are requesting disbursement of domestic and international payments to their recipients and is used to facilitate such payments.

The information will also be used for collateral purposes related to the processing of disbursements, such as collection of statistical information on operations, development of

computer systems, investigation of unauthorized or fraudulent activity, and the collection of debts arising out of such activity.

### **CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals who are the intended or actual recipients of payments disbursed by the United States Government.

### **CATEGORIES OF RECORDS IN THE SYSTEM:**

Payment records showing a payee's name, Social Security number, employer identification number, or other agency identification or account number; date and location of birth, physical and/or electronic mailing address; telephone numbers; payment amount; date of issuance; trace number or other payment identification number, such as Treasury check number and symbol; financial institution information, including the routing number of his or her financial institution and the payee's account number at the financial institution; and vendor contract and/or purchase order number.

### **RECORD SOURCE CATEGORIES:**

Information in this system is provided by: Federal departments and agencies responsible for certifying, disbursing, and collecting federal payments; Treasury or Fiscal Service-designated fiscal and financial agents of the United States that process payments and collections; and commercial database vendors. Each of these record sources may include information obtained from individuals.

### **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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:



- (1) The banking industry for payment verification;
- (2) Federal investigative agencies, Departments and agencies for whom payments are made, and payees;
- (3) Appropriate federal, state, local or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;
- (4) A federal, state, or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;
- (5) A court, magistrate, mediator, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;
- (6) Foreign governments in accordance with formal or informal international agreements;
- (7) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;
- (8) Unions recognized as exclusive bargaining representatives under 5 U.S.C. Chapter 71, arbitrators, and other parties responsible for the administration of the federal labor-management program if needed in the performance of their authorized duties;

- (9) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation;
- (10) Federal creditor agencies, their employees, or their agents for the purpose of facilitating or conducting federal administrative offset, federal tax refund offset, federal salary offset, or for any other authorized debt collection purpose;
- (11) Any state, territory or commonwealth of the United States, or the District of Columbia to assist in the collection of state, commonwealth, territory or District of Columbia claims pursuant to a reciprocal agreement between Fiscal Service and the state, commonwealth, territory or the District of Columbia, or pursuant to federal law that authorizes the offset of federal payments to collect delinquent obligations owed to the state, commonwealth, territory, or the District of Columbia;
- (12) The Defense Manpower Data Center and the United States Postal Service and other federal agencies through authorized computer matching programs for the purpose of identifying and locating individuals who are delinquent in their repayment of debts owed to the Department or other federal agencies in order to collect those debts through salary offset and administrative [\*11780] offset, or by the use of other debt collection tools;
- (13) A contractor of the Fiscal Service for the purpose of performing routine payment processing services, subject to the same limitations applicable to Fiscal Service officers and employees under the Privacy Act;
- (14) A fiscal or financial agent of the Fiscal Service, its employees, agents, and contractors, or to a contractor of the Fiscal Service, for the purpose of ensuring the efficient administration of payment processing services, subject to the same or equivalent limitations applicable to Fiscal Service officers and employees under the Privacy Act;
- (15) To appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(16) To another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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;

(17) (a) a federal or state agency, its employees, agents (including contractors of its agents) or contractors; (b) a fiscal or financial agent designated by the Fiscal Service or other Department of the Treasury bureau or office, including employees, agents or contractors of such agent; or (c) a contractor of the Fiscal Service, for the purpose of identifying, preventing, or recouping improper payments to an applicant for, or recipient of, federal funds, including funds disbursed by a state in a state-administered, federally-funded program; disclosure may be made to conduct computerized comparisons for this purpose;

(18) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity; and

(19) Representatives of the National Archives and Records Administration ("NARA") who are conducting records management inspections under authority of 4 U.S.C. 2904 and 2906.

## **POLICIES AND PRACTICES FOR STORAGE OF RECORDS IN THE SYSTEM:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

## **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records may be retrieved by name, Social Security number, employer identification number, agency-supplied identifier, date of payment, or trace number, or other payment identifying information, such as check number.

## **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

## **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

## **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR, Part 1, Subpart C, Appendix G.

## **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

**HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on October 15, 2012 ([77 FR 62602](#)) as the Department of the Treasury, Financial Management Service .002—Payment Records.

**Treasury/Fiscal Service .003**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .003—Claims and Inquiry Records on Treasury Checks, and International Claimants.

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Kansas City Regional Financial Center, Bureau of the Fiscal Service, U.S. Department of the Treasury, 4241 NE 34th Street, Kansas City, MO 64117; Bureau of the Fiscal Service, 320 Avery Street, Parkersburg, WV 26106-1328. Records are also located throughout the United States at Federal Reserve Banks and financial institutions acting as Treasury's fiscal and financial agents. The addresses of the fiscal and financial agents may be obtained from the system manager below.

**SYSTEM MANAGER(S):**

Chief Disbursing Officer, Assistant Commissioner, Payment Management, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse "E," Landover, MD 20785.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; Treasury check claims—15 U.S.C. 771 with delegation of authority from Comptroller General of the United States; International claims—50 U.S.C. 2012; 22 U.S.C. 1627, 1641, 1642; *Public Law 114-328*.

**PURPOSE(S) OF THE SYSTEM:**

To be the system of record for all checks issued by the U.S. Department of the Treasury and claims against these checks, including:

- (1) Claims where the payee has verified they were not the endorser of [\*11781] the check therefore resulting in potential fraud;
- (2) Claims of non-entitlement (reclamations) by agencies;
- (3) Claims of non-receipt by payees;

(4) Expired checks, *i.e.*, limited pay cancellations; and

(5) Claims for benefits under the War Claims Act, the International Claims Settlement Act of 1949, and the Guam World War II Loyalty Recognition Act.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Payees and holders of Treasury checks; and

(2) Claimants awarded benefits under the War Claims Act, the International Claims Settlement Act of 1949, and the Guam World War II Loyalty Recognition Act.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(1) Treasury check claim files; and

(2) Awards for claims for losses sustained by individuals.

**RECORD SOURCE CATEGORIES:**

Information in this system of records is provided by:

(1) Individual payees of Treasury checks, endorsers of Treasury checks, investigative agencies, contesting claimants;

(2) Federal program agencies and other federal entities; and

(3) Awards certified to Treasury for payment by Foreign Claims Settlement Commission.

**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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

- (1) Endorsers concerning checks for which there is liability, federal agencies, state and local law enforcement agencies, General Accountability Office, congressional offices and media assistance offices on behalf of payee claimants;
- (2) Appropriate federal, state, local or foreign agencies responsible for investigating or prosecuting a violation of or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;
- (3) A federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;
- (4) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;
- (5) Foreign governments in accordance with formal or informal international agreements;



(6) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;

(7) The news media and the public, with the approval of the Chief Privacy Officer in consultation with counsel, when there exists a legitimate public interest in the disclosure of the information, when disclosure is necessary to preserve confidence in the integrity of the Fiscal Service, or when disclosure is necessary to demonstrate the accountability of Fiscal Service's officers, employees, or individuals covered by the system, except to the extent the Chief Privacy Officer determines that release of the specific information in the context of a particular issue would constitute an unwarranted invasion of personal privacy;

(8) Unions recognized as exclusive bargaining representatives under 5 U.S.C. Chapter 71, arbitrators, and other parties responsible for the administration of the federal labor-management program if needed in the performance of their authorized duties;

(9) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation;

(10) The public when attempts by Fiscal Service to locate the claimant have been unsuccessful. This information is limited to the claimant's name, city, and state of last known address, and the amount owed to the claimant. (This routine use does not apply to the Iran Claims Program or the Holocaust Survivors Claims Program or other claims programs that statutorily prohibit disclosure of claimant information);

(11) Representatives of the National Archives and Records Administration ("NARA") who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906;

(12) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(13) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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; and

(14) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

#### **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

#### **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records may be retrieved by:

- (1) Name of payee and check number and symbol;
- (2) Social Security number; and
- (3) Name of claimant or alphanumeric reference to claim number.

#### **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the [\*11782] Fiscal Service File Plan are approved by NARA.

#### **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

#### **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

#### **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

#### **NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

**HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on Oct. 15, 2012 ([77 FR 62602](#)) as the Department of the Treasury, Financial Management Service .003—Claims and Inquiry Records on Treasury Checks, and International Claimants.

**Treasury/Fiscal Service .004**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .004—Education and Training Records.

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Bureau of the Fiscal Service, U.S. Department of the Treasury, 320 Avery Street, Parkersburg, WV 26106-1328.

**SYSTEM MANAGER(S):**

Assistant Commissioner, Office of Management, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse "E", Landover, MD 20785.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

[5 U.S.C. 301](#); [31 U.S.C. 321](#); 31 U.S.C. chapter 33; [31 U.S.C. 3720](#).

**PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected and maintained about Government employees and other individuals who participate in Fiscal Service's education and training program. The information contained in the records will assist Fiscal Service in properly tracking individual training and accurately account for training revenue and expenditures generated through the Fiscal Service's training programs (for example, Integrated Talent Management (ITM)). For Fiscal Service personnel, the records contained in Fiscal Service's training records will also assist managers' active participation in their employees' learning plans. Fiscal Service maintains the information necessary to ensure that Fiscal Service keeps accurate records related to classes, including a training participant's training and enrollment status, class completion information, and learning history. Fiscal Service also maintains the records to ensure that financial records pertaining to a training participant's payment for training fees are maintained accurately. Fiscal Service's training records will report financial information to the Internal Revenue Service and Office of Personnel Management. Finally, the information contained in the covered records will be used for collateral purposes related to the training processes, such as the collection of statistical information on training programs, development of computer systems, investigation of unauthorized or fraudulent activity related to submission of information to Fiscal Service for training program purposes and the collection of debts arising out of such activity.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Government employees (including separated employees, in certain cases) and other individuals who access and apply for Fiscal Service training services.

## **CATEGORIES OF RECORDS IN THE SYSTEM:**

- (1) Personal Profile—Account Record;
- (2) Transcript Record;
- (3) Enrollment Status Record;
- (4) My Plan Record;
- (5) Assessment Performance Results Record;
- (6) Managerial Approval/Disapproval Status Record;
- (7) Class Roster Record;
- (8) Class Evaluation Record;
- (9) Payment Record; and
- (10) Statistical Reports—retrievable by names: (a) Learning History, (b) Class Enrollment Report, (c) Class Payment/Billing Report, (d) Status of Training Report, (e) Ad Hoc Training Report, and (f) Other Similar Files or Registers.

## **RECORD SOURCE CATEGORIES:**

Information in this system is provided by the individual on whom the record is maintained; the individual's employer; and other governmental agency or educational institutions.

**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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

- (1) Appropriate federal, state, local or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;
- (2) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;
- (3) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;
- (4) Federal agencies, financial institutions, and contractors for the purpose of performing fiscal services, including, but not limited to, processing payments, investigating and rectifying possible erroneous reporting information, testing and enhancing related computer systems, creating and reviewing statistics to improve the quality of services provided, or conducting debt collection services;
- (5) Federal agencies, their agents and contractors for the purposes of facilitating the collection of receipts, [\*11783] determining the acceptable method of collection, the accounting of such receipts, and the implementation of programs related to the receipts being collected as well as status of their personnel training, statistical training information;

- (6) Financial institutions, including banks and credit unions, and credit card companies for the purpose of collections and/or investigating the accuracy of information required to complete transactions using electronic methods and for administrative purposes, such as resolving questions about a transaction;
- (7) Unions recognized as exclusive bargaining representatives under 5 U.S.C. Chapter 71, arbitrators, and other parties responsible for the administration of the federal labor-management program if needed in the performance of their authorized duties;
- (8) Foreign governments in accordance with formal or informal international agreements;
- (9) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation;
- (10) Federal agencies, their agents and contractors, credit bureaus, and employers of individuals who owe delinquent debt when the debt arises from the unauthorized use of electronic payment methods. The information will be used for the purpose of collecting such debt through offset, administrative wage garnishment, referral to private collection agencies, litigation, reporting the debt to credit bureaus, or for any other authorized debt collection purpose;
- (11) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906;
- (12) To appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;



(13) To another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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; and

(14) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

#### **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

#### **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Electronic training data can be retrieved by class name and/or organization name and participant name. Electronic financial data can be retrieved by name, organization and payment information (*e.g.*, credit card, Standard Form 182).

#### **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

#### **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

#### **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

#### **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

#### **NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

#### **EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

#### **HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on August 17, 2011 (*76 FR 51128*) as the Department of the Treasury, Bureau of the Public Debt .001—Human Resources and Administrative Records and on October 15, 2012 (*77 FR 62602*) as the Department of the Treasury, Financial Management Service .004—Education and Training Records.

### **Treasury/Fiscal Service .005**

#### **SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .005—Fiscal Service Personnel Records.

#### **SECURITY CLASSIFICATION:**

Information in this system is not classified.

#### **SYSTEM LOCATION:**

Bureau of the Fiscal Service, U.S. Department of the Treasury, locations at: 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785; 200 Third Street, Parkersburg, WV 26106-1328; 320 Avery Street, Parkersburg, WV 26106-1328; 4241 NE 34th Street, Kansas City, MO 64117-3120; 13000 Townsend Road, Philadelphia, PA 19154; and Fiscal Service offices in Austin, TX 78714 and Birmingham, AL. Copies of some documents have been duplicated for maintenance by supervisors for employees or programs under their supervision. These duplicates are also covered by this system of records.

#### **SYSTEM MANAGER(S):**

(1) For personnel records: Assistant Commissioner, Office of Management, Bureau of the Fiscal Service, 3201 [\*11784] Pennsy Drive, Warehouse "E", Landover, MD 20785; and

(2) For personnel security records: Assistant Commissioner, Office of Information and Security Services, Bureau of the Fiscal Service, 320 Avery Street, Parkersburg, WV 26106-1328.

#### **AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; U.S. Office of Personnel Management, Guide to Personnel Recordkeeping (Operating Manual).

#### **PURPOSE(S) OF THE SYSTEM:**

The information contained in these records assists Fiscal Service in: (1) Maintaining current and historical personnel records and preparing individual administrative transactions relating to classification; assignment; career development; evaluation; promotion, compensation, separation and retirement; making decisions on the rights, benefits, entitlements and the utilization of individuals; providing a data source for the production of reports, statistical surveys, rosters, documentation, and studies required for the orderly personnel administration within Treasury; (2) maintaining employment history; (3) providing investigatory information for determinations concerning whether an individual is suitable or fit for Government employment; eligible for logical and physical access to Treasury controlled facilities and information systems; eligible to hold sensitive positions (including but not limited to eligibility for access to classified information); fit to perform work for or on behalf of the U.S. Government as a contractor; qualified to perform contractor services for the U.S. Government; or loyal to the United States; (4) ensuring that Fiscal Service is upholding the highest standards of integrity, loyalty, conduct, and security among its employees and contract personnel; (5) to help streamline and make the adjudicative process more efficient; and (6) to otherwise conform with applicable legal, regulatory and policy authorities.

#### **CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Fiscal Service employees (including current and separated employees), family members of Fiscal Service employees, and applicants for Fiscal Service employment.

### **CATEGORIES OF RECORDS IN THE SYSTEM:**

(1) Human Resources Records: Records covered under the National Archives and Records Administration (“NARA”)’s General Records Schedule, 2.0 Human Resources, which relate to the supervision over and management of federal civilian employees, including the disposition of Official Personnel Folders and other records relating to civilian personnel; and

(2) Personnel Security Records: Records covered under the NARA General Records Schedule 2.1 Employee Acquisition Records, and 5.6 Security Records that relate to initial and recurring background investigations of Fiscal Service employee and contractors, as well as the issuance of PIV-enabled identification cards (*i.e.*, credentials).

### **RECORD SOURCE CATEGORIES:**

Information in this system of records is provided by applicant Notification of Personnel Action Forms (SF-50), job application/resume (completed by applicant), payroll actions references, educational institutions, the subject of the record, authorized representatives, supervisor, employers, medical personnel, other employees, other federal, state, or local agencies, and commercial entities.

### **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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

(1) Appropriate federal, state, local or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order, or

license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;

(2) The Office of Personnel Management, the Merit Systems Protection Board, the Equal Employment Opportunity Commission, and the Federal Labor Relations Authority upon authorized request;

(3) Other federal, state, or local agencies, such as a state employment compensation board or housing administration agency, so that the agency may adjudicate an individual's eligibility for a benefit, or liability in such matters as child support;

(4) A federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;

(5) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;

(6) Foreign governments in accordance with formal or informal international agreements;

(7) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;

(8) Contractors for the purpose of processing personnel and administrative records;

(9) Unions recognized as exclusive bargaining representatives under 5 U.S.C. Chapter 71, arbitrators, and other parties responsible for the administration of the federal labor-management program if needed in the performance of their authorized duties;

(10) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation;

(11) Consumer reporting agencies, private creditors and debt collection agencies, including mailing addresses obtained from the Internal Revenue Service to obtain credit reports;

(12) Federal agencies and to state and local agencies for tax purposes;

(13) Private creditors for the purpose of garnishing wages of an employee if a debt has been reduced to a judgment;

(14) Authorized federal and non-federal entities for use in approved computer matching efforts, limited to those data elements considered necessary in making a determination of eligibility under particular benefit programs administered by those agencies or entities, to improve program integrity, and to collect debts and other monies owed to those agencies or entities or to the Fiscal Service;

(15) Other federal agencies to effect salary or administrative offset for the purpose of collecting a debt, except that addresses obtained from the Internal Revenue Service shall not be disclosed to other agencies;

(16) Next-of-kin, voluntary guardians, and other representative or successor in interest of a deceased or incapacitated employee or former employee;

(17) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records [\*11785] management inspections under authority of [44 U.S.C. 2904](#) and 2906;

(18) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;

(19) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(20) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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; and

(21) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

## **DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

In accordance with section (b)(12) of the Privacy Act of 1974, as amended ([5 U.S.C. 552a\(b\)\(12\)](#)), disclosures may be made from this system of records to “consumer reporting agencies”<sup>3</sup> in accordance with section 3711(e) of title 31.” The purpose of the disclosure is to aid in the collection of outstanding debts owed to the Federal Government. After the prerequisites of [31 U.S.C. 3711](#) have been followed, the Fiscal Service may disclose information necessary to establish the identity of the individual responsible for the claim,

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<sup>3</sup> “Consumer reporting agency” is defined in [31 U.S.C. 3701\(a\)\(3\)](#).



including name, address, and taxpayer identification number; the amount, status, and history of the claim; and the agency or program under which the claim arose.

### **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

### **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

By name, Social Security number or other assigned identifier.

### **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

### **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

### **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

### **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

### **NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

### **EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

### **HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on August 17, 2011 (*76 FR 51128*) as the Department of the Treasury, Bureau of the Public Debt .001—Human Resources and Administrative Records and on October 15, 2012 (*77 FR 62602*) as the Department of the Treasury, Financial Management Service .005—FMS Personnel Records.

**Treasury/Fiscal Service .006**

### **SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .006—Employee Assistance Records.

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

This system covers Fiscal Service employee assistance records that are maintained by another federal, state, local government, or contractor under an agreement with the Fiscal Service directly or through another entity to provide the Employee Assistance Program (EAP) functions. The address of the other agency or contractor may be obtained from the system manager below.

**SYSTEM MANAGER(S):**

Assistant Commissioner, Office of Management, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

[5 U.S.C. 301](#), 7361, 7362, 7904; [44 U.S.C. 3101](#).

**PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected and maintained to provide a history and record of the employee's or his/her family member's counseling session.

## **CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Fiscal Service employees and former employees who have been counseled, either by self-referral or supervisory-referral, regarding alcohol or drug abuse, emotional health, or other personal problems. Where applicable, this system also covers family members of Fiscal Service employees when the family member uses the services of the EAP.

## **CATEGORIES OF RECORDS IN THE SYSTEM:**

This system contains records of each employee and, in some cases, family [\*11786] members of the employee who have used the EAP for an alcohol, drug, emotional, or personal problem. Examples of information that may be found in each record are: The individual's name; Social Security number; date of birth; grade; job title; home address; telephone numbers; supervisor's name and telephone number; assessment of problem; and referrals to treatment facilities and outcomes.

## **RECORD SOURCE CATEGORIES:**

Information in this system of records comes from the individual to whom it applies, the supervisor of the individual if the individual was referred by a supervisor, or the contractor's staff member who records the counseling session.

## **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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

(1) An entity under contract with the Fiscal Service for the purpose of providing the EAP function;

- (2) Medical personnel to the extent necessary to meet a bona fide medical emergency in accordance with the Confidentiality of Alcohol and Drug Abuse Patient Records regulations (42 CFR part 2);
- (3) Contractors and consultants, and their employees, contractors or other personnel for the purpose of conducting scientific research, management audits, financial audits, or program evaluation, provided individual identifiers are not disclosed in any manner, in accordance with the Confidentiality of Alcohol and Drug Abuse Patient Records regulations (42 CFR part 2);
- (4) The Department of Justice or other appropriate federal agency in defending claims against the United States when the records are not covered by the Confidentiality of Alcohol and Drug Abuse Patient Records regulations at 42 CFR part 2;
- (5) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;
- (6) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;
- (7) A federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;
- (8) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(9) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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; and

(10) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

#### **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

#### **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

These records are retrieved by the name and Social Security number or other assigned identifier of the individual on whom they are maintained.

#### **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

#### **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

When Fiscal Service contracts with an entity for the purpose of providing the EAP functions, the contractor shall be required to maintain Privacy Act of 1974, as amended, safeguards with respect to such records.

#### **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

#### **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

#### **NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

#### **EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

**HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on August 17, 2011 (76 FR 51128) as the Department of the Treasury, Bureau of the Public Debt .005—Employee Assistance Records. [\*11787]

**Treasury/Fiscal Service .007**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .007—Direct Deposit Enrollment Records.

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Federal Reserve Bank of Dallas, acting in its capacity as Treasury's fiscal agent, 2200 North Pearl Street, Dallas, TX 75201.

**SYSTEM MANAGER(S):**

Chief Disbursing Officer, Assistant Commissioner, Payment Management, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785.



**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

[5 U.S.C. 301](#); [31 U.S.C. 321](#); 31 U.S.C. chapter 33; [31 U.S.C. 3332](#).

**PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected and maintained about individuals who wish to enroll in the Direct Deposit program in order to receive federal payments directly to a bank account or other similar type of account via electronic funds transfer, rather than by paper check.

The records are used to process Direct Deposit enrollment applications that may be received directly by Fiscal Service, its fiscal agents, and/or contractors. The records are collected and maintained to guarantee that Direct Deposit enrollment applications are processed properly to ensure that a recipient's federal payment will be disbursed to the correct account. Without the appropriate information, Fiscal Service, its fiscal agents and contractors, would not be able to process the Direct Deposit enrollment application as requested by the individual authorizing the Direct Deposit.

The information will also be used for collateral purposes related to the processing of Direct Deposit enrollments, such as collection of statistical information on operations, development of computer systems, investigation of unauthorized or fraudulent activity, and the collection of debts arising out of such activity.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals who enroll with the Fiscal Service to receive federal payments from the Federal Government via an electronic funds transfer program known as "Direct Deposit."

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The records may contain identifying information, such as: An individual's name(s), Social Security number, home address, home and work telephone number, and personal email address (home and work); date of birth; bank account(s) and other types of accounts to which payments are made, such as the individual's bank account number and the financial institution routing and transit number; information about an individual's payments received from the United States, including the type of payment received and the federal agency responsible for authorizing the payment; information related to the cancellation or suspension of an individual's Direct Express® debit card<sup>4</sup> by Fiscal Service's financial agent; and information provided by an individual regarding a hardship due to a remote geographic location or about his or her inability to manage a bank account or prepaid debit card due to mental impairment.

### **RECORD SOURCE CATEGORIES:**

Information in this system is provided by the individual on whom the record is maintained (or by his or her authorized representative), other persons who electronically authorize payments from the Federal Government, federal agencies responsible for authorizing payments, federal agencies responsible for disbursing payments, Treasury financial agents, Treasury fiscal agents that process Direct Deposit enrollment applications, and contractors.

### **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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

(1) Appropriate federal, state, local or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;

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<sup>4</sup> Direct Express® is a registered service mark of the Bureau of the Fiscal Service, U.S. Department of the Treasury.

(2) A federal, state, or local agency, maintaining civil, criminal, or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;

(3) Foreign governments in accordance with formal or informal international agreements;

(4) Authorized federal and non-federal entities for use in approved computer matching efforts, limited to those data elements considered necessary in making a determination of eligibility under particular benefit programs administered by those agencies or entities, to improve program integrity, and to collect debts and other monies owed to those agencies or entities or to the Fiscal Service;

(5) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;

(6) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;

(7) Fiscal agents, financial agents, financial institutions, and contractors for the purposes of:  
(a) Processing Direct Deposit enrollment applications, including, but not limited to, processing Direct Deposit enrollment forms and implementing programs related to Direct Deposit; investigating and rectifying possible erroneous information; creating and reviewing statistics to improve the quality of services provided; conducting debt collection services for debts arising from Direct Deposit activities; or developing, testing and enhancing computer systems; and (b) processing waivers from the requirement to receive payments electronically, including, but not limited to, processing automatic waivers and applications for waivers, as well as implementing the waivers; investigating and rectifying possible erroneous information or fraud; creating and reviewing statistics to improve the quality of services provided; or developing, testing and enhancing computer systems;

(8) Federal agencies, their agents, and contractors for the purposes of facilitating the processing of Direct Deposit enrollment applications and the implementation of programs related to Direct Deposit; [\*11788]

(9) Federal agencies, their agents and contractors, credit bureaus, and employers of individuals who owe delinquent debt for the purpose of garnishing wages, only when the debt arises from the unauthorized or improper use of the Direct Deposit program. The information will be used for the purpose of collecting such debt through offset, administrative wage garnishment, referral to private collection agencies, litigation, reporting the debt to credit bureaus, or for any other authorized debt collection purpose;

(10) Financial institutions, including banks and credit unions, for the purpose of disbursing payments and/or investigating the accuracy of information required to complete transactions using Direct Deposit and for administrative purposes, such as resolving questions about a transaction;

(11) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906;

(12) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation;

(13) Federal agencies, state agencies, and local agencies for tax purposes;

(14) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(15) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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;

(16) Consumer reporting agencies, as defined by the Fair Credit Reporting Act, 5 U.S.C. 1681(f), to encourage repayment of a delinquent debt; and

(17) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

#### **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

#### **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records are retrieved by name, Social Security number, telephone number, transaction identification number, or other alpha/numeric identifying information.

#### **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

## **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

## **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

**HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on October 15, 2012 ([77 FR 62602](#)) as the Department of the Treasury, Financial Management Service .006—Direct Deposit Enrollment Records.

**Treasury/Fiscal Service .008**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .008—Mailing List Records.

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Bureau of the Fiscal Service, U.S. Department of the Treasury, 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785, or its fiscal or financial agents at various locations. The addresses of the fiscal or financial agents may be obtained by contacting the System Manager below.

**SYSTEM MANAGER(S):**

Chief Disbursing Officer, Assistant Commissioner, Payment Management, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

[5 U.S.C. 301](#); [31 U.S.C. 321](#); 31 U.S.C. chapter 33; [31 U.S.C. 3332](#); Title XII of the Dodd-Frank Wall Street Reform and Consumer Protection Act (*Pub. L. 111-203*, Jul. 21, 2010).

### **PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected and maintained about low to moderate income individuals, who are more likely to be unbanked or under-banked, and who could potentially receive federal tax refund payments. The records are used to send letters to individuals informing them of the benefits of electronic payments and Treasury-recommended account options for receiving payments electronically. Without the information, Fiscal Service and its fiscal or financial agents and contractors would not be able to directly [\*11789] notify prospective payment recipients about the benefits of electronic payments and the Treasury-recommended account options for the receipt of federal payments electronically.

The information will also be used to study the effectiveness of offering account options to individuals for the purpose of receiving federal payments. To study program efficacy, Fiscal Service may use its mailing list records to collect aggregate statistical information on the success and benefits of direct mail and the use of commercial database providers.

### **CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Low- to moderate-income individuals, who are more likely to be unbanked or underbanked, who could potentially receive federal tax refund payments, and whose names and addresses are included on mailing lists purchased from commercial providers.

### **CATEGORIES OF RECORDS IN THE SYSTEM:**

The records may contain identifying information, such as an individual's name(s) and address.

### **RECORD SOURCE CATEGORIES:**



Information in this system is provided by commercial database providers based on publicly available information.

**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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

- (1) The U.S. Department of Justice (“DOJ”) for its use in providing legal advice to the Department or in representing the Department in a proceeding before a court, adjudicative body, or other administrative body before which the Department is authorized to appear, where the use of such information by the DOJ is deemed by the Department to be relevant and necessary to the litigation, and such proceeding names as a party or interests: (a) The Department or any component thereof; (b) any employee of the Department in his or her official capacity; (c) any employee of the Department in his or her individual capacity where DOJ has agreed to represent the employee; or (d) the United States, where the Department determines that litigation is likely to affect the Department or any of its components;
- (2) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;
- (3) Fiscal agents, financial agents, and contractors for the purpose of mailing information to individuals about the benefits of electronic federal payments and Treasury-recommended account options for receipt of federal payments electronically, including, but not limited to, processing direct mail or performing other marketing functions; and creating and reviewing statistics to improve the quality of services provided;
- (4) Federal agencies, their agents and contractors for the purposes of implementing and studying options for encouraging current and prospective federal payment recipients to receive their federal payments electronically;

- (5) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906;
- (6) A federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;
- (7) Appropriate federal, state, local or foreign agencies responsible for investigating or prosecuting a violations or enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;
- (8) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;
- (9) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation;
- (10) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(11) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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; and

(12) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

#### **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

#### **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records are retrieved by name, address, or other alpha/numeric identifying information.

#### **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

#### **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including [\*11790] the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on computer have the same limited access as paper records.

#### **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

#### **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

#### **NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

#### **EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

#### **HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on October 15, 2012 ([77 FR 62602](#)) as the Department of the Treasury, Financial Management Service .008—Mailing List Records.

**Treasury/Fiscal Service .009**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .009—Delegations and Designations of Authority for Disbursing Functions

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Kansas City Regional Financial Center, Bureau of the Fiscal Service, U.S. Department of the Treasury, 4241 NE 34th Street, Kansas City, MO 64117.

**SYSTEM MANAGER(S):**

Chief Disbursing Officer, Assistant Commissioner, Payment Management, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

[5 U.S.C. 301](#); [31 U.S.C. 3321](#), 3325.

**PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected and maintained from federal agencies that are requesting disbursement of domestic and international payments to its recipients. The information is collected and maintained to ensure that only properly authorized Federal Government personnel are able to engage in the process of disbursing a payment.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Heads of Agencies, Certifying Officers, designated agents, and other federal employees designated to perform specific disbursement-related functions.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records are maintained on the designation or removal of individuals to act in a specified capacity pursuant to a proper authorization.

**RECORD SOURCE CATEGORIES:**

Information in this system of records is provided by government departments and agencies requiring services of the Department for issuance and payment of Treasury checks.

**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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

- (1) Banking institutions, Federal Reserve Banks, and government agencies for verification of information on authority of individuals to determine propriety of actions taken by such individuals;
- (2) Appropriate federal, state, local or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;
- (3) A federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;
- (4) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;
- (5) Foreign governments in accordance with formal or informal international agreements;
- (6) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;
- (7) Unions recognized as exclusive bargaining representatives under 5 U.S.C. Chapter 71, arbitrators, and other parties responsible for the administration of the federal labor-management program if needed in the performance of their authorized duties;
- (8) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation;

(9) Contractors for the purpose of processing personnel and administrative records;

(10) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(11) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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; **[\*11791]**

(12) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906; and

(13) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

## **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.



## **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records may be retrieved by name.

## **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

## **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

## **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

**HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on October 15, 2012 ([77 FR 62602](#)) as the Department of the Treasury, Financial Management Service .010—Records of Accountable Officers' Authority With Treasury.

**Treasury/Fiscal Service .010**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .010—Pre-complaint Counseling and Complaint Activities.

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Bureau of the Fiscal Service, U.S. Department of the Treasury, 200 Third Street, Parkersburg, WV 26106-1328.

**SYSTEM MANAGER(S):**

Director, Equal Employment Opportunity & Diversity, Bureau of the Fiscal Service, 200 Third Street, Parkersburg, WV 26106-1328.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 7154; 42 U.S.C. 200e-16; Executive Order 11478; and 5 CFR part 713.

**PURPOSE(S) OF THE SYSTEM:**

The system is used for the investigation of complaints of discrimination on the basis of race, color, national origin, sex, age, retaliation/reprisal and disability. In addition, the system contains case files developed in investigating complaints and in reviewing actions within Fiscal Service to determine if it conducted programs and activities in compliance with the federal laws. The system also contains annual and bi-annual statistical data submitted to and used by the Fiscal Service.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Employees seeking services of EEO Counselors.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Monthly pre-complaint activity reports from all Fiscal Service facilities.

## **RECORD SOURCE CATEGORIES:**

Information in this system of records is provided by monthly submissions by financial centers and headquarters.

## **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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

- (1) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;
- (2) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;
- (3) Unions recognized as exclusive bargaining representatives under 5 U.S.C. Chapter 71, arbitrators, and other parties responsible for the administration of the federal labor-management program if needed in the performance of their authorized duties;
- (4) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation;
- (5) Appropriate federal, state, local, or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations

and such disclosure is proper and consistent with the official duties of the person making the disclosure;

(6) A federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;

(7) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a [\*11792] result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(8) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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;

(9) Contractors for the purpose of processing personnel and administrative records; and

(10) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

## **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

### **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records may be retrieved by employee name and date of receipt.

### **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

### **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

### **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

### **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

**HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on October 15, 2012 ([77 FR 62602](#)) as the Department of the Treasury, Financial Management Service .012—Pre-complaint Counseling and Complaint Activities.

**Treasury/Fiscal Service .011**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .011—Gifts to the United States

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Bureau of the Fiscal Service, U.S. Department of the Treasury, 200 Third Street, Parkersburg, WV 26106-1328.

**SYSTEM MANAGER(S):**

Director, Reporting and Analysis Division, Reporting and Analysis Branch 2, Bureau of the Fiscal Service, 200 Third Street, Parkersburg, WV 26106-1328.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

[31 U.S.C. 3113.](#)

**PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected and maintained to document donors' gifts to the United States Government.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Donors of inter vivos and testamentary gifts to the United States.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Correspondence, copies of wills and court proceedings, and other material related to gifts to the United States.



## **RECORD SOURCE CATEGORIES:**

Information in this system of records is provided by individuals, executors, administrators and other involved persons.

## **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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

- (1) Fiscal agents, financial agents, financial institutions, and contractors for the purpose of performing fiscal or financial services, including, but not limited to, processing payments, investigating and rectifying possible erroneous reporting information, creating and reviewing statistics to improve the quality of services provided, or developing, testing and enhancing computer systems;
- (2) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;
- (3) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service determines that information from this [\*11793] 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;

- (4) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation;
- (5) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906;
- (6) The news media and the public, with the approval of the Chief Privacy Officer in consultation with counsel, when there exists a legitimate public interest in the disclosure of the information, when disclosure is necessary to preserve confidence in the integrity of the Fiscal Service, or when disclosure is necessary to demonstrate the accountability of the Fiscal Service's officers, employees, or individuals covered by the system, except to the extent the Chief Privacy Officer determines that release of the specific information in the context of a particular issue would constitute an unwarranted invasion of personal privacy;
- (7) A federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;
- (8) Appropriate federal, state, local or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;
- (9) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;

(10) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;

(11) Authorized federal and non-federal entities for use in approved computer matching efforts, limited to those data elements considered necessary in making a determination of eligibility under particular benefit programs administered by those agencies or entities, to improve program integrity, and to collect debts and other monies owed to those agencies or entities or to the Fiscal Service; and

(12) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

#### **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

#### **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records may be retrieved by name of donor.

#### **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

#### **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

#### **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

#### **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

#### **NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

#### **EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

#### **HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on October 15, 2012 ([77 FR 62602](#)) as the Department of the Treasury, Financial Management Service .013—Gifts to the United States.

**Treasury/Fiscal Service .012**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .012—Debt Collection Operations System.

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Records are located throughout the United States at Bureau of the Fiscal Service operations centers, Federal Records Centers, Federal Reserve Banks acting as Treasury's fiscal agents, and financial institutions acting as Treasury's financial agents. Addresses may be obtained from system managers.

**SYSTEM MANAGER(S):**

System Manager, Debt Management Services, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse "E", Landover, MD 20785.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Federal Claims Collection Act of 1966 (*Pub. L. 89-508*), as amended by the Debt Collection Act of 1982 (*Pub. L. 97-365*, as amended); Deficit Reduction Act of 1984 (*Pub. L. 98-369*, as amended); Debt Collection Improvement Act of 1996 (*Pub. L. 104-134*, sec. 31001); Taxpayer Relief Act of 1997 (*Pub. L. 105-34*); Internal Revenue Service Restructuring and Reform Act of 1998 (*Pub. L. 105-206*); Improper Payments Information Act of 2002 (*Pub. L. 107-300*); Recovery Audit Act of 2002 (*Pub. L. 107-107*; Section 831; 115 Stat. 1186); Improper Payments Elimination and [\*11794] Recovery Act of 2010 (*Pub. L. 111-204*); Improper Payments Elimination and Recovery Improvement Act of 2012 (*Pub. L. 112-248*); 26 U.S.C. 6402; [26 U.S.C. 6331](#); 31 U.S.C. chapter 37 (Claims), subchapter I (General) and subchapter II (Claims of the U.S. Government); [31 U.S.C. 3321](#) note.

### **PURPOSE(S) OF THE SYSTEM:**

The purpose of this system is to maintain records about individuals who owe current receivable(s) or delinquent debt(s) to the United States or to any person for whom the United States is authorized by statute to collect for the benefit of such person, through one or more of its departments or agencies, or to states, including past due support enforced by states. The information contained in the records is maintained for the purpose of taking action to facilitate the collection or resolution of the debt(s) using various methods, including, but not limited to, requesting repayment of the debt orally or in writing; offset or levy of federal or state payments; administrative wage garnishment; referral to collection agencies or for litigation; or other collection or resolution methods authorized or required by law. The information is also maintained for the purpose of providing collection information about the debt to the agency collecting the debt, so that debtors can access information to resolve their debt, and to provide statistical information on debt collection operations. The information is also maintained for the purpose of testing and developing enhancements to: The computer systems which contain the records; and operations or business processes used to collect or resolve debts. The information is also maintained for the purpose of data analysis related to improving government-wide efforts to resolve and/or collect current receivables and delinquent debts owed to federal and/or state agencies. The information is also maintained for the purpose of resolving delinquent debts owed by debtors who are ineligible for federally funded programs until the delinquency is resolved, or for identifying, preventing, or recouping improper payments to individuals who owe obligations to federal and/or state agencies.

### **CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals who may owe current receivables or delinquent debts (collectively “debts”) to: (a) The United States, through one or more of its departments and agencies; or (b) states, territories or commonwealths of the United States, or the District of Columbia (hereinafter collectively referred to as “States”).

## **CATEGORIES OF RECORDS IN THE SYSTEM:**

Debt records containing information about the debtor(s), the type of debt, the governmental entity to which the debt is owed, and the debt collection tools utilized to collect the debt. The records may contain identifying information, such as: (a) Debtor name(s) and taxpayer identifying number(s) (*i.e.*, Social Security number or employer identification number); (b) debtor contact information, such as work and home address, email address, or work, home or cellular telephone numbers; (c) contact information for the debtor's authorized third party representative(s); (d) information concerning the financial status of the debtor and his/her household, including income, assets, liabilities or other financial burdens, and any other resources from which the debt may be recovered; and (e) name of employer or employer contact information. Debts may include taxes, loans, assessments, fines, fees, penalties, overpayments, advances, extensions of credit from sales of goods or services, or other amounts of money or property owed to, or collected by, the Federal Government or a State, including past due support which is being enforced by a State.

The records also may contain information about: (a) The debt, such as the original amount of the debt, the debt account number, the date the debt originated, the amount of the delinquency or default, the date of delinquency or default, basis for the debt, amounts accrued for interest, penalties, and administrative costs, proof of debt documentation, or payments on the account; (b) actions taken to collect or resolve the debt, such as copies of demand letters or invoices, information prepared for the purpose of referring the debt to private collection agencies or the United States Department of Justice, recordings of telephone calls and computer activity related to the collection and resolution of debt, collectors' notes regarding telephone or other communications related to the collection or resolution of the debt, copies of administrative wage garnishment orders, due process notices, hearing requests, and hearing decisions, payment or compromise agreements; (c) other relevant information, including orders for military service, prison records, bankruptcy notices, medical records, or other correspondence with the debtor; and (d) the referring or governmental agency that is collecting or owed the debt, such as name, telephone number, and address of the agency contact.

## **RECORD SOURCE CATEGORIES:**

Information in this system is provided by: The individual on whom the record is maintained; Federal and state agencies to which the debt is owed; Federal agencies and other entities that employ the individual or have information concerning the individual's employment or financial resources; Federal and State agencies issuing payments; collection agencies; locator and asset search companies, credit bureaus, and other database vendors; Federal, State or local agencies furnishing identifying information and/or debtor address information; and/or public documents.

## **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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

- (1) Appropriate federal, state, local or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;
- (2) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;
- (3) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;



(4) Any federal agency, State or local agency, or their agents or contractors, including private collection agencies:

(a) To facilitate the collection of debts through the use of any combination of various debt collection methods required or authorized by law, including, but not limited to:

(i) Request for repayment by telephone or in writing;

(ii) Negotiation of voluntary repayment or compromise agreements; [\*11795]

(iii) Offset or levy of Federal or State payments, which may include the disclosure of information contained in the records for the purpose of providing the debtor with appropriate notice or to otherwise comply with prerequisites, to facilitate voluntary repayment in lieu of offset or levy, to provide information to the debtor to understand what happened to the payment, or to otherwise effectuate the offset or levy process;

(iv) Referral of debts to private collection agencies, to Treasury-designated debt collection centers, or for litigation;

(v) Administrative and court-ordered wage garnishment;

(vi) Debt sales;

(vii) Publication of names and identities of delinquent debtors in the media or other appropriate places; or

(viii) Any other debt collection method authorized by law;

(b) To conduct computerized comparisons to locate Federal or State payments to be made to debtors;

- (c) To conduct computerized comparisons to locate employers of, or obtain taxpayer identifying numbers or other information about, an individual for debt collection purposes;
  - (d) To collect a debt owed to the United States through the offset of payments made by States;
  - (e) To account or report on the status of debts for which such entity has a legitimate use for the information in the performance of official duties;
  - (f) For the purpose of denying Federal financial assistance in the form of a loan or loan insurance or guaranty to an individual who owes delinquent debt to the United States or who owes delinquent child support that has been referred to Fiscal Service for collection by administrative offset;
  - (g) To develop, enhance and/or test database, matching, communications, or other computerized systems which facilitate debt collection processes;
  - (h) To conduct data analysis which facilitates processes related to the collection or resolution of debts owed to Federal and/or State agencies; or
  - (i) For any other appropriate debt collection purpose.
- (5) The Department of Defense, the U.S. Postal Service, or other Federal agency for the purpose of conducting an authorized computer matching program in compliance with the Privacy Act of 1974, as amended, to identify and locate individuals receiving Federal payments including, but not limited to, salaries, wages, or benefits, which may include the disclosure of information contained in the record(s) for the purpose of requesting voluntary repayment or implementing Federal employee salary offset or other offset procedures;

(6) Unions recognized as exclusive bargaining representatives under 5 U.S.C. Chapter 71, arbitrators, and other parties responsible for the administration of the federal labor-management program if needed in the performance of their authorized duties;

(7) The Department of Justice or other federal agency:

(a) When requested in connection with a legal proceeding, including a pending or threatened legal proceeding; or

(b) To obtain concurrence in a decision to compromise, suspend, or terminate collection action on a debt;

(8) The Internal Revenue Service in connection with reporting income from the cancellation of a debt;

(9) A federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;

(10) Any individual or other entity who receives federal or state payments as a joint payee with a debtor for the purpose of providing notice of, and information about, offsets from such federal payments;

(11) Any individual or entity:

(a) To facilitate the collection and/or resolution of debts using any combination of various debt collection methods required or authorized by law, including, but not limited to:

(i) Performing administrative and court-ordered wage garnishment;

- (ii) Reporting information to commercial or consumer credit bureaus;
  - (iii) Conducting asset searches or locating debtors;
  - (iv) Publishing names and identities of delinquent debtors in the media or other appropriate places; or
  - (v) Selling debts;
- (b) For the purpose of denying federal financial assistance in the form of a loan or loan insurance or guaranty to an individual who owes delinquent debt to the United States or who owes delinquent child support that has been referred to the Fiscal Service for collection by administrative offset; or
- (c) For any other appropriate debt collection purpose;
- (12) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;
- (13) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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;

(14)(a) A Federal or State agency, its employees, agents (including contractors of its agents) or contractors; (b) fiscal or financial agent designated by the Fiscal Service or other Department of the Treasury bureau or office, including employees, agents or contractors of such agent; or (c) contractor of the Fiscal Service, for the purpose of identifying, preventing, or recouping improper payments to an applicant for, or recipient of, Federal funds, including funds disbursed by a state in a state-administered, Federally funded program; disclosure may be made to conduct computerized comparisons for this purpose;

(15) Consumer reporting agencies (as defined by the Fair Credit Reporting Act, 5 U.S.C. 1681(f)) in accordance with [5 U.S.C. 552a\(b\)\(12\)](#) and [31 U.S.C. 3711\(e\)](#), to encourage repayment of a delinquent debt; and

(16) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906.

#### **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically, or on paper in secure facilities in a locked drawer behind a locked door. [\*11796]

#### **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records may be retrieved by various combinations of identifiers, including but not limited to name, taxpayer identifying number (*i.e.*, Social Security number or employer identification number), debt account number, offset trace number, payment trace number, telephone number or address.

#### **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

### **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

### **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

### **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

### **NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

### **EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

**HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on October 15, 2012 ([77 FR 62602](#)) as the Department of the Treasury, Financial Management Service .014—Debt Collection Operations System.

**Treasury/Fiscal Service .013**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .013—Collections Records.

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Bureau of the Fiscal Service, U.S. Department of the Treasury, 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785. Records are also located throughout the United States at Federal Reserve Banks and financial institutions acting as Treasury's fiscal and financial agents. The addresses of the fiscal and financial agents may be obtained from the system manager below.

**SYSTEM MANAGER(S):**

Assistant Commissioner, Revenue Collections Management, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse "E", Landover, MD 20785.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

[5 U.S.C. 301](#); [31 U.S.C. 321](#); 31 U.S.C. chapter 33; [31 U.S.C. 3720](#).

**PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected and maintained about individuals who electronically authorize payments to the Federal Government. The information contained in the records is maintained for the purpose of facilitating the collection and reporting of receipts from the public to the Federal Government and to minimize the financial risk to the Government and the public of unauthorized use of electronic payment methods. Examples of payment mechanisms authorized electronically include Automated Clearing House (ACH), check conversion, wire transfers, credit and debit cards, or stored value cards. Individuals may authorize payments using paper check conversion or internet-based systems through programs such as "Pay.gov" and "Electronic Federal Taxpayer Payment System" or directly through their financial institution. The information also is maintained to:

- (a) Provide collections information to the federal agency collecting the public receipts;
- (b) Authenticate the identity of individuals who electronically authorize payments to the Federal Government;
- (c) Verify the payment history and eligibility of individuals to electronically authorize payments to the Federal Government;
- (d) Provide statistical information on collections operations;
- (e) Test and develop enhancements to the computer systems that contain the records; and



(f) Collect debts owed to the Federal Government from individuals when the debt arises from the unauthorized use of electronic payment methods.

Fiscal Service's use of the information contained in the records is necessary to process financial transactions while protecting the government and the public from financial risks that could be associated with electronic transactions. The records are collected and maintained to authenticate payers and their ability to pay, process payments through banking networks, and resolve after-the-fact accounting and reconciliation questions.

In addition, the information contained in the covered records will be used for other purposes related to the processing of financial transactions, such as collection of statistical information on operations, development of computer systems, investigation of unauthorized or fraudulent activity related to electronic transactions, and the collection of debts arising out of such activity.

#### **CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals who electronically authorize payments to the Federal Government through the use of communication networks, such as the internet, via means such as ACH, check conversion, wire transfer, credit/debit cards, and/or stored value card.

#### **CATEGORIES OF RECORDS IN THE SYSTEM:**

Collections records containing information about individuals who electronically authorize payments to the Federal Government to the extent such records are covered by the Privacy Act of 1974, as amended. The records may contain identifying information, such as: An individual's name(s), taxpayer identifying number (*i.e.*, Social Security number or employer identification number), home address, home telephone number, and email addresses (personal and work); an individual's employer's name, address, telephone number, and email address; an individual's date of birth and driver's license number; information about an individual's bank account(s) and other types of accounts from which payments [\*11797] are made, such as financial institution routing and account number; credit and debit card numbers; information about an individual's payments made to or from the United States (or to other entities such as

private contractors for the Federal Government), including the amount, date, status of payments, payment settlement history, and tracking numbers used to locate payment information; user name and password assigned to an individual; other information used to identify and/or authenticate the user of an electronic system to authorize and make payments, such as a unique question and answer chosen by an individual; and information concerning the authority of an individual to use an electronic system (access status) and the individual's historical use of the electronic system. The records also may contain information about the governmental agency to which payment is made and information required by such agency as authorized or required by law.

The information contained in the records covered by Fiscal Service's system of records is necessary to process financial transactions while protecting the government and the public from financial risks that could be associated with electronic transactions. It is noted that the system covers records obtained in connection with various mechanisms that either are used currently or may be used in the future for electronic financial transactions. Not every transaction will require the maintenance of all of the information listed in this section. The categories of records cover the broad spectrum of information that might be connected to various types of transactions.

#### **RECORD SOURCE CATEGORIES:**

Information in this system is provided by the individual on whom the record is maintained (or by his or her authorized representative), other persons who electronically authorize payments to the Federal Government, federal agencies responsible for collecting receipts, federal agencies responsible for disbursing and issuing federal payments, Treasury fiscal and financial agents that process collections, and commercial database vendors.

#### **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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

(1) Appropriate federal, state, local or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;

(2) Commercial database vendors for the purposes of authenticating the identity of individuals who electronically authorize payments to the Federal Government, to obtain information on such individuals' payment or check writing history, and for administrative purposes, such as resolving a question about a transaction. For purposes of this notice, the term "commercial database vendors" means vendors who maintain and disclose information from consumer credit, check verification, and address databases;

(3) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;

(4) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;

(5) Fiscal agents, financial agents, financial institutions, and contractors for the purpose of performing fiscal or financial services, including, but not limited to, processing payments, investigating and rectifying possible erroneous reporting information, creating and reviewing statistics to improve the quality of services provided, conducting debt collection services, or developing, testing and enhancing computer systems;

(6) Federal agencies, state agencies, and local agencies for tax purposes;

(7) Federal agencies, their agents and contractors, credit bureaus, and employers of individuals who owe delinquent debt for the purpose of garnishing wages only when the debt arises from the unauthorized use of electronic payment methods. The information will be used for the purpose of collecting such debt through offset, administrative wage garnishment, referral to

private collection agencies, litigation, reporting the debt to credit bureaus, or for any other authorized debt collection purpose;

(8) Financial institutions, including banks and credit unions, and credit card companies for the purpose of collections and/or investigating the accuracy of information required to complete transactions using electronic methods and for administrative purposes, such as resolving questions about a transaction;

(9) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation;

(10) Authorized federal and non-federal entities for use in approved computer matching efforts, limited to those data elements considered necessary in making a determination of eligibility under particular benefit programs administered by those agencies or entities, to improve program integrity, and to collect debts and other monies owed to those agencies or entities or to the Fiscal Service;

(11) Unions recognized as exclusive bargaining representatives under 5 U.S.C. Chapter 71, arbitrators, and other parties responsible for the administration of the federal labor-management program if needed in the performance of their authorized duties;

(12) A federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;

(13) Foreign governments in accordance with formal or informal international agreements;

(14) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(15) Another Federal agency or Federal entity, when the Department of **[\*11798]** the Treasury and/or Fiscal Service 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;

(16) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906; and

(17) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

#### **DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

Debt information concerning a government claim against a debtor when the debt arises from the unauthorized use of electronic payment methods is also furnished, in accordance with [5 U.S.C. 552a\(b\)\(12\)](#) and [31 U.S.C. 3711\(e\)](#), to consumer reporting agencies, as defined by the Fair Credit Reporting Act, 5 U.S.C. 1681(f), to encourage repayment of a delinquent debt.

#### **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

## **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records may be retrieved by account number (such as financial institution account number or credit card account number), name (including an authentication credential, *e.g.*, a user name), Social Security number, transaction identification number, or other alpha/numeric identifying information.

## **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

## **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

## **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must comply with the rules of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

**HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on October 15, 2012 ([77 FR 62602](#)) as the Department of the Treasury, Financial Management Service .017—Collections Records.

**Treasury/Fiscal Service .014**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .014—United States Securities and Access.

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Bureau of the Fiscal Service, U.S. Department of the Treasury, 200 Third Street, Parkersburg, WV 26106-1328; Bureau of the Fiscal Service, U.S. Department of the Treasury, 3201 Pennsy Drive, Warehouse "E", Landover, MD 20785; the Federal Reserve Bank of Minneapolis, 90 Hennepin Avenue, Minneapolis, MN 55401; and the Federal Reserve Bank of New York, East Rutherford Operations Center, 100 Orchard Street, East Rutherford, NJ 07073.

**SYSTEM MANAGER(S):**

Assistant Commissioner, Retail Securities Services, Bureau of the Fiscal Service, 200 Third Street, Parkersburg, WV 26106-1328. For Federal Housing Administration (FHA) Debentures: Assistant Commissioner, Office of Fiscal Accounting Operations, 200 Third Street, Parkersburg, WV 26106-1328.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

[\*5 U.S.C. 301\*](#); [\*31 U.S.C. 3101, et seq.\*](#)

**PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected and used to identify and maintain all account and ownership data, both paper and electronic (internet based), on past and current purchases of Treasury securities. This includes, for example, U.S. Treasury bonds, notes, and bills; adjusted service bonds; armed forces leave bonds; and Federal Housing Administration debentures as well as savings-type securities including savings bonds, savings notes, definitive accrual, current income, and retirement-type savings securities. Information on transactions related to the inquiry and servicing of these Treasury securities is also collected and maintained. The collection of information allows Fiscal Service and its agents to issue and process Treasury securities, make payments, identify owners and their accounts, and other customer service related transactions.



## **CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Present and former owners of, subscribers to, claimants to, persons entitled to, and inquirers concerning United States savings-type securities and interest on securities, for example, United States savings bonds, savings notes, retirement plan bonds, and individual retirement bonds.

Present and former owners of, subscribers to, claimants to, persons entitled to, and inquirers concerning United States Treasury securities (except savings-type securities) and interest on securities and such securities for which the Treasury acts as agents, for example, Treasury bonds, notes, and bills; adjusted service bonds; armed forces leave bonds; and Federal Housing Administration debentures.

Individuals who provide information to create an account for the purchase of United States Treasury securities and [\*11799] savings-type securities through the internet.

## **CATEGORIES OF RECORDS IN THE SYSTEM:**

(1) Issuance: Records relating to registration, issuance, and correspondence in connection with issuance of United States Treasury securities and savings-type securities;

(2) Holdings: Records of accounts for the purchase of United States securities. These records may include ownership and interest activity on registered or recorded United States Treasury securities and savings-type securities;

(3) Transactions (redemptions, payments, reissues, transfers, and exchanges): Records which include securities transaction requests;

(4) Claims: Records including correspondence concerning lost, stolen, destroyed, or mutilated United States Treasury securities and savings-type securities; and

(5) Inquiries: Records of correspondence with individuals who have requested information concerning United States Treasury securities and savings-type securities.

All of the above categories of records include records of FHA debentures in the Fiscal Accounting securities accounting system.

All of the above categories of records include or may include the following types of personal information:

- (1) Personal identifiers (name, including previous name used; Social Security number; date of birth; physical and electronic addresses; telephone, fax, and pager numbers); and
- (2) Authentication aids (personal identification number, password, account number, shared-secret identifier, digitized signature, or other unique identifier).

#### **RECORD SOURCE CATEGORIES:**

Information on records in this system is furnished by the individuals or their authorized representatives as listed in “Categories of Individuals” and issuing agents for securities, is generated within the system itself, or, with their authorization, is derived from other systems of records.

#### **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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

- (1) Agents or contractors of the Department for the purpose of administering the public debt of the United States;

- (2) Next-of-kin, voluntary guardian, legal representative or successor in interest of a deceased or incapacitated owner of securities and others entitled to the reissue, distribution, or payment for the purpose of assuring equitable and lawful disposition of securities and interest;
- (3) Any owner of United States Treasury securities or savings-type securities registered to two or more owners; or to the beneficiary of such securities registered in beneficiary form if acceptable proof of death of the owner is submitted;
- (4) Federal agencies, state agencies, and local agencies for tax purposes;
- (5) A federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;
- (6) Foreign governments in accordance with formal or informal international agreements;
- (7) The Department of Veterans Affairs and selected veterans' publications for the purpose of locating owners or other persons entitled to undeliverable bonds held in safekeeping by the Department;
- (8) The Department of Veterans Affairs when it relates to the holdings of Armed Forces Leave Bonds, to facilitate the redemption or disposition of these securities;
- (9) Other federal agencies to effect salary or administrative offset for the purpose of collecting debts;
- (10) A consumer-reporting agency, including mailing addresses obtained from the Internal Revenue Service, to obtain credit reports;

(11) A debt collection agency, including mailing addresses obtained from the Internal Revenue Service, for debt collection services;

(12) Contractors conducting Treasury-sponsored surveys, polls, or statistical analyses relating to the marketing or administration of the public debt of the United States;

(13) Appropriate federal, state, local, or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;

(14) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;

(15) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;

(16) Other federal agencies, through computer matching, information on individuals owing debts to the Fiscal Service for the purpose of determining whether the debtor is a federal employee or retiree receiving payments that may be used to collect the debt through administrative or salary offset;

(17) Requesting federal agencies, through computer matching under approved agreements limiting the information to that which is relevant in making a determination of eligibility for federal benefits administered by those agencies, information on holdings of United States Treasury securities and savings-type securities;

(18) Other federal agencies through computer matching, information on individuals with whom the Fiscal Service has lost contact, for the purpose of utilizing letter forwarding services

to advise these individuals that they should contact the Fiscal Service about returned payments and/or matured, unredeemed securities;

(19) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(20) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service determines that information from this system of records is reasonably [\*11800] 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;

(21) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity;

(22) “Consumer reporting agencies”<sup>5</sup> to aid in the collection of outstanding debts owed to the Federal Government. After the prerequisites of [31 U.S.C. 3711](#) have been followed, the Fiscal Service may disclose information necessary to establish the identity of the individual responsible for the claim, including name, address, and taxpayer identification number; the amount, status, and history of the claim; and the agency or program under which the claim arose; and

(23) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906.

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<sup>5</sup> “Consumer reporting agency” is defined in [31 U.S.C. 3701\(a\)\(3\)](#).

## **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

## **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Information can be retrieved alphabetically by name, address, and period of time the security was issued, by bond serial numbers, other assigned identifier, or, in some cases, numerically by taxpayer identification number. In the case of securities, except Series G savings bonds registered in more than one name, information relating to those securities can be retrieved only by the names, or, in some cases, by the taxpayer identification number of the registrants, primarily the registered owners or first-named co-owners. In the case of gift bonds inscribed with the taxpayer identification number of the purchaser, bonds are retrieved under that number or by bond serial number.

## **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

## **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

**RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

**Appendix of Treasury Retail Securities sites:**

This appendix lists the mailing addresses and telephone number of the places that individuals may contact to inquire about their securities accounts maintained in Treasury Direct or the Legacy Holding System. The toll-free telephone number 1-844-284-2676 is used to reach all the locations. Customers may also view information on the TreasuryDirect website at *www.TreasuryDirect.gov*.

For Series EE and Series I Bonds:

Treasury Retail Securities Services Site, P.O. Box 214, Minneapolis, MN 55480-0214.

For Series HH and Series H Bonds:

Treasury Retail Securities Services Site, P.O. Box 2186, Minneapolis, MN 55480-2816.

For all other Series:

Treasury Retail Securities Services Site, P.O. Box 9150, Minneapolis, MN 55480-9150.

For TreasuryDirect:

Treasury Retail Securities Site, P.O. Box 7015, Minneapolis, MN 55480-9150.

For Legacy Holding System:

Retail Securities Services, Bureau of the Fiscal Service, 200 Third Street, Parkersburg, WV 26106-1328.

For FHA Debentures:

Fiscal Accounting Office, Special Investments Branch, Bureau of the Fiscal Service, P.O. Box 396, 200 Third Street, Parkersburg, WV 26106-1328.

**HISTORY:**



Notice of this system of records was last published in full in the **Federal Register** on August 17, 2011 (*76 FR 51128*) as the Department of the Treasury, Bureau of the Public Debt .002—United States Savings-Type Securities, Department of the Treasury, Bureau of the Public Debt .003—United States Securities (Other than Savings-Type Securities) and Department of the Treasury, Bureau of the Public Debt .008—Retail Treasury Securities Access Application.

**Treasury/Fiscal Service .015**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .015—Physical Access Control System.

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

All Bureau of the Fiscal Service, U.S. Department of the Treasury, locations.

**SYSTEM MANAGER(S):**

Assistant Commissioner, Information and Security Services, Bureau of the Fiscal Service, 320 Avery Street, Parkersburg, WV 26106-1328.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

[31 U.S.C. 321](#); 41 CFR 101-20.103.

**PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected and maintained to allow the Fiscal Service to control and verify access to all Fiscal Service facilities. [\*11801]

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

All Fiscal Service employees, employees of contractors or service companies, and visitors.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Every individual with access to Fiscal Service facilities controlled by the Physical Access Control System (“PACS”) has a personal record stored in the PACS database. This record contains the individual's full legal name, date of birth, height, weight, eye/hair color, digital color photograph, federal agency smart credential number, and their door access profile. When an access card is presented at a reader, a record of the access is created on the PACS database. This record contains the individual's name, date/time, door/location scanned, and whether the access was granted or denied.

**RECORD SOURCE CATEGORIES:**

Information in this system of records is provided by the individual concerned, his/her supervisor, or an official of the individual's firm or agency.

**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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

- (1) Appropriate federal, state, local, or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;
- (2) A federal, state, or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;
- (3) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;
- (4) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;
- (5) Unions recognized as exclusive bargaining representatives under 5 U.S.C. Chapter 71, arbitrators, and other parties responsible for the administration of the federal labor-management program if needed in the performance of their authorized duties;
- (6) Contractors for the purpose of processing personnel and administrative records;
- (7) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation;

(8) The Office of Personnel Management, the Merit System Protection Board, the Equal Employment Opportunity Commission, and the Federal Labor Relations Authority upon authorized request;

(9) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(10) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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;

(11) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906; and

(12) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

## **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

## **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Information on individuals can be retrieved by name or card number or other assigned identifier such as biometric or biographic information.

## **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

## **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

## **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must [\*11802] follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

**HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on August 17, 2011 (76 FR 51128) as the Department of the Treasury, Bureau of the Public Debt .004—Controlled Access Security System.

**Treasury/Fiscal Service .016**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .016—Health Unit Records

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Bureau of the Fiscal Service, U.S. Department of the Treasury, 200 Third Street, Parkersburg, WV 26106-1328; Bureau of the Fiscal Service, U.S. Department of the Treasury, 320 Avery Street, Parkersburg, WV 26106-1328; and Bureau of the Fiscal Service, U.S. Department of the Treasury, 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785.

**SYSTEM MANAGER(S):**

Assistant Commissioner, Office of Management, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

[5 U.S.C. 7901](#); [29 U.S.C. 2613](#).

**PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected and maintained to document an individual's utilization on a voluntary basis of health services provided under the Federal Employee Health Services Program at the health unit at the Fiscal Service and to document employees' requests for Family Medical Leave Act (“FMLA”) leave in Parkersburg, West Virginia or Hyattsville, Maryland. Data is necessary to ensure: Proper evaluation, diagnosis, treatment, and referral to maintain continuity of care; a medical history of care received by the individual; planning for further care of the individual; a means of communication among health care members who contribute to the individual's care; a legal document of health care rendered; and is a tool for evaluating the quality of health care rendered; and for assessing employees' requests for FMLA leave.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Fiscal Service employees who receive services under the Federal Employee Health Services Program from the Fiscal Service health units in Parkersburg, West Virginia or Hyattsville,

MD, or who submit medical documentation in support of their requests for sick leave or leave under the FMLA;

(2) Federal employees of other organizations who receive services under the Federal Employee Health Services Program from the Fiscal Service health units in Parkersburg, West Virginia or Hyattsville, Maryland; and

(3) Non-federal individuals working in or visiting the buildings, who may receive emergency treatment from the Fiscal Service health unit in Parkersburg, West Virginia or Hyattsville, Maryland.

### **CATEGORIES OF RECORDS IN THE SYSTEM:**

This system is comprised of records developed as a result of an individual's utilization of services provided under the Federal Employee Health Services Program or provided in support of employees' requests for FMLA leave. These records contain information such as: Examination, diagnostic, assessment and treatment data; laboratory findings; nutrition and dietetic files; nursing notes; immunization records; CPR training; first aider: Names, Social Security number, date of birth, addresses, and telephone numbers of individual; name, address, and telephone number of individual's physician; name, address, and telephone number of hospital; name, address, and telephone number of emergency contact; and information obtained from the individual's physician(s); medical documents related to employees' requests for FMLA leave, and record of requested accesses by any Fiscal Service employee (other than health unit personnel) who has an official need for the information.

*Note:* This system does not cover records related to counseling for drug, alcohol, or other problems covered by the system of records notice Treasury/Fiscal Service .006—Employee Assistance Records. Medical records relating to a condition of employment or an on-the-job occurrence are covered by the Office of Personnel Management's system of records notice OPM/GOVT-10—Employee Medical File System Records.

### **RECORD SOURCE CATEGORIES:**



Information in this system of records comes from the individual to whom it applies; laboratory reports and test results; health unit physicians, nurses, and other medical technicians who have examined, tested, or treated the individual; the individual's personal physician; other federal employee health units; and other federal agencies.

**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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

- (1) Medical personnel under a contract agreement with the Fiscal Service;
- (2) A federal, state, or local public health service agency as required by applicable law, concerning individuals who have contracted certain communicable diseases or conditions. Such information is used to prevent further outbreak of the disease or condition;
- (3) Appropriate federal, state, or local agencies responsible for investigation of an accident, disease, medical condition, or injury as required by pertinent legal authority;
- (4) A federal agency responsible for administering benefits programs in connection with a claim for benefits filed by an employee;
- (5) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;
- (6) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;

(7) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such [\*11803] agencies, entities, and persons is reasonably necessary to assist in connection with the Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(8) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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;

(9) Fiscal Service employees who have a need to know the information in order to assess employees' requests for FMLA leave;

(10) Representatives of the National Archives and Records Administration ("NARA") who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906;

(11) Contractors for the purpose of processing personnel and administrative records; and

(12) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

## **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

## **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

These records are retrieved by the name or other assigned identifier of the individual to whom they pertain.

## **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

## **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in a secured database. Medical personnel under a contract agreement who have access to these records are required to maintain adequate safeguards with respect to such records.

## **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **EXEMPTIONS PROMULGATED FOR THE SYSTEM**

None.

## **HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on August 17, 2011 (*76 FR 51128*) as the Department of the Treasury, Bureau of the Public Debt .006—Health Service Program Records.

**Treasury/Fiscal Service .017**

## **SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .017—Do Not Pay Payment Verification Records.

## **SECURITY CLASSIFICATION:**

Information in this system is not classified.

## **SYSTEM LOCATION:**

Bureau of the Fiscal Service, U.S. Department of the Treasury, 3201 Pennsy Drive, Warehouse "E", Landover, MD 20785. Records are also located throughout the United States at Fiscal Service operations centers, Federal Records Centers, Federal Reserve Banks acting as Treasury's fiscal agents, and financial institutions acting as Treasury's financial agents. The specific address for each of the aforementioned locations may be obtained upon request.

**SYSTEM MANAGER(S):**

Director, Do Not Pay Business Center, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse "E", Landover, MD 20785.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Improper Payments Elimination and Recovery Improvement Act of 2012, [31 U.S.C. 3321](#) note, *Public Law 112-248*; the Improper Payments Elimination and Recovery Act of 2010, *Public Law 111-204*; E.O. 13520 (Reducing Improper Payments and Eliminating Waste in Federal Programs), [74 FR 62201](#); OMB Memorandum M-12-11 (Reducing Improper Payment through the "Do Not Pay List", April 12, 2012; OMB Memorandum M-13-20 (Protecting Privacy while Reducing Improper Payments with the Do Not Pay Initiative); Presidential Memorandum on Enhancing Payment Accuracy through a "Do Not Pay List" (June 18, 2010).

**PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected and maintained to assist federal agencies in verifying that individuals are eligible to receive federal payments by allowing the Department of the Treasury/Fiscal Service to collect, maintain, analyze, and disclose records that will assist federal agencies in identifying, preventing, and recovering payment error, waste, fraud, and abuse within federal spending, as required by the Improper Payments Elimination and Recovery Improvement Act.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

- (1) Individuals who have applied for or are receiving payments (including contract, grant, benefit or loan payments) disbursed by any federal agency, its agents or contractors;
- (2) Individuals declared ineligible to participate in federal procurement programs or to receive certain federal loans, assistance, and/or benefits as a result of an exclusion or disqualification action;
- (3) Individuals declared ineligible to participate in federal health care programs or to receive federal assistance and/or benefits as a result of an exclusion action;
- (4) Individuals who are barred from entering the United States;
- (5) Individuals in bankruptcy proceedings or individuals who have declared bankruptcy;
- (6) Individuals who are, or have been, incarcerated and/or imprisoned;
- (7) Individuals who are in default or delinquent status on loans, judgment debt, or rural development and farm services programs provided through federal agencies responsible for administering federally-funded programs;
- (8) Individuals who owe non-tax debts to the United States; **[\*11804]**
- (9) Individuals who owe debts to states, where the state has submitted the debt to the Fiscal Service for offset; and
- (10) Individuals conducting, or attempting to conduct, transactions at or through a financial institution where the financial institution has identified, knows, suspects, or has reason to suspect that: (a) The transaction involves funds originating from illegal activities; (b) the purpose of the transaction is to hide or disguise funds or assets, or attempt to hide or disguise funds or assets, originating from illegal activities as part of a plan to violate or evade any law or regulation or to avoid any transaction reporting requirement under federal law; or (c) the transaction is illegal in nature or is not the type of transaction in which the particular

individual would normally be expected to engage, and the financial institution knows of no reasonable explanation for the transaction after examining the available facts, including the background and possible purpose of the transaction.

### **CATEGORIES OF RECORDS IN THE SYSTEM:**

The records in this system contain information that will assist federal agencies to identify and prevent payment error, waste, fraud, and abuse within federal spending. The records contain information about intended or actual payees or recipients of federal payments, including information about financial assets, including income, wages, and bank accounts into which payments are made, and other information to assist federal agencies in making eligibility determinations regarding applicants for and recipients of payments from the Federal Government.

The records may contain the following information:

- (1) Name(s), including aliases and surnames;
- (2) State and federal taxpayer identification number (TIN), Social Security number (SSN), employer identification number (EIN), individual taxpayer identification number (ITIN), taxpayer identification number for pending U.S. adoptions (ATIN), and preparer taxpayer identification number (PTIN));
- (3) Date of birth;
- (4) Home and work address;
- (5) Driver's license information and other information about licenses issued to an individual by a governmental entity;
- (6) Home, work, and mobile telephone numbers;

- (7) Personal and work email addresses;
- (8) Income;
- (9) Employer information;
- (10) Assets and bank account information, including account number and financial institution routing and transit number;
- (11) Other types of accounts to which payments are made, including account numbers and identifiers (*e.g.*, financial institution routing number, account number, credit card number, and information related to pre-paid debit cards);
- (12) Tracking numbers used to locate payment information;
- (13) Loan information, such as borrower identification (“ID”) number and ID type, case number, agency code, and type code;
- (14) Incarceration information, such as inmate status code, date of conviction, date of confinement, and release date;
- (15) Information about legal judgments;
- (16) Data Universal Numbering System (“DUNS”) numbers;
- (17) Information about non-tax debts owed to the United States; and
- (18) Information about debts owed to state agencies.



## **RECORD SOURCE CATEGORIES:**

Information in this system is provided by the individual (or an authorized representative) to whom the record pertains, federal agencies that authorize payments or issue payments with federal funds, Treasury fiscal and financial agents who work with data in this system, and commercial database vendors. The system may contain information about an individual from more than one source, and this information may vary, depending on the source that provided it.

## **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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows: <sup>6</sup>

(1) (a) A federal agency, its employees, agents (including contractors of its agents) or contractors; (b) a fiscal or financial agent designated by the Fiscal Service, its predecessors, or other Department bureau or office, including employees, agents or contractors of such agent; or (c) a Fiscal Service contractor, for the purpose of identifying, preventing, or recouping improper payments to an applicant for, or recipient of, federal funds;

(2) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;

(3) (a) a federal agency, its employees, agents (including contractors of its agents) or contractors; (b) a fiscal or financial agent designated by the Fiscal Service, its predecessors, or other Department bureau or office, including employees, agents or contractors of such agent;

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<sup>6</sup> This system contains records that are collected by the Fiscal Service and other federal agencies. Notwithstanding the routine uses listed in this system of records, Federal law may further limit how records may be used, and the Fiscal Service may agree to additional limits on disclosure for some data through a written agreement with the entity that supplied the information. As such, the routine uses listed in this system of records may not apply to every data set in the system. To identify which routine uses apply to specific data sets, visit <https://fiscal.treasury.gov/dnp/privacy-program.html>.

or (c) a Fiscal Service contractor, to initiate an investigation, or during the course of an investigation, and to the extent necessary, obtain information supporting an investigation pertinent to the elimination of systemic fraud, waste, and abuse within federal programs;

(4) (a) a federal agency, its employees, agents (including contractors of its agents) or contractors; (b) a fiscal or financial agent designated by the Fiscal Service, its predecessors, or other Department bureau or office, including employees, agents or contractors of such agent; or (c) a Fiscal Service contractor for the purpose of validating eligibility for an award through a federal program;

(5) (a) a federal agency, its employees, agents (including contractors of its agents) or contractors; (b) a fiscal or financial agent designated by the Fiscal Service, its predecessors, or other Department bureau or office, including employees, agents or contractors of such agent; or (c) a Fiscal Service contractor to check or improve the quality and accuracy of system records;

(6) Financial institutions and their servicers in order to: (a) verify the proper routing and delivery of any federal payment; (b) verify the identity of any recipient or intended recipient of a federal payment; or (c) investigate or pursue recovery of any improper payment;

(7) Foreign governments in accordance with formal or informal international agreements;

(8) Appropriate federal, state, local or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper **[\*11805]** and consistent with the official duties of the person making the disclosure;

(9) A federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;

(10) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;

(11) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(12) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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;

(13) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906; and

(14) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

## **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

### **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records may be retrieved by identifiers, including, but not limited to, exact name, partial name, SSN, TIN, EIN, DUNS numbers, or a combination of these elements.

### **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

### **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

The Fiscal Service may agree to additional safeguards for some data through a written agreement with the entity supplying the data. Information on additional safeguards can be found at <https://donotpay.treas.gov>.

### **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

### **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

### **NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

### **EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

### **HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on December 9, 2013 ([78 FR 73923](#)) as the Department of the Treasury, Bureau of the Fiscal Service .023—Do Not Pay Payment Verification Records.

**Treasury/Fiscal Service .018**

### **SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .018—OneVoice Customer Relationship Management.

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Bureau of the Fiscal Service, U.S. Department of the Treasury, 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785. Records are also located throughout the United States at data centers operated by Fiscal Service service providers.

**SYSTEM MANAGER(S):**

Director, Office of Agency Outreach, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

[5 U.S.C. 301.](#)

**PURPOSES(S) OF THE SYSTEM:**

The purpose of this system of records is to establish a customer relationship management (“CRM”) tool within the Fiscal Service. An enterprise-wide CRM tool is necessary to strategically promote, share, and guide the organization in developing processes for marketing, messaging, outreach, engagement and consistent product and service implementations. In addition, this system will increase transparency; improve outreach, communications, and collaboration efforts with our customers and vendors; and employ sound, repeatable methodologies.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Sole proprietors and other entities, which provide goods and/or services to the Fiscal Service (“Vendors”); and individuals representing agencies that purchase goods and/or services through the Fiscal Service (“Clients”). [\*11806]

**CATEGORIES OF RECORDS IN THE SYSTEM:**

- (1) Client's or Vendor's name;
- (2) Agency or organization identifier (if applicable);
- (3) Position information (title and expertise area);
- (4) Phone and fax numbers;
- (5) Email addresses; and
- (6) Physical work address.

**RECORD SOURCE CATEGORIES:**

Records are obtained directly from clients and vendors and added to the system by authorized Fiscal Service employees, contractors, and fiscal or financial agents.

**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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

(1) A federal, state, or local agency, maintaining civil, criminal, or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;

(2) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;

(3) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;

(4) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(5) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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;



(6) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records management inspections under the authority of [44 U.S.C. 2904](#) and 2906;

(7) Appropriate federal, state, local or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;

(8) Foreign governments in accordance with formal or informal international agreements; and

(9) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

#### **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

#### **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records may be retrieved by name, address, or other alpha/numeric identifying information.

#### **POLICIES AND PROCEDURES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

## **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

## **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

**HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on September 19, 2014 (79 FR 56433) as the Department of the Treasury, Bureau of the Fiscal Service .024—OneVoice Customer Relationship Management.

**Treasury/Fiscal Service .019**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .019—Gifts to Reduce the Public Debt.

**SECURITY CLASSIFICATION:**

Information in this system is not classified.

**SYSTEM LOCATION:**

Bureau of the Fiscal Service, U.S. Department of the Treasury, 200 Third Street, Parkersburg, WV 26106-1328. [\*11807]

**SYSTEM MANAGER(S):**

Assistant Commissioner, Office of Retail Securities Services, Division of Securities Accounting, Bureau of the Fiscal Service, 200 Third Street, Parkersburg, WV 26106-1328.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

31 U.S.C. 3113.

**PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected and maintained to document donors' gifts to reduce the public debt. They provide a record of correspondence between Fiscal Service and the donor, information concerning any legal matters, and a record of depositing the gift and accounting for it.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Donors of gifts to reduce the public debt.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Correspondence; copies of checks, money orders, or other payments; copies of wills and other legal documents; and other material related to gifts to reduce the public debt by the Bureau of the Fiscal Service.

Note: This system of records does not cover gifts sent to other agencies, such as gifts sent with one's federal income tax return to the Internal Revenue Service. It also does not include records pertaining to gifts of tangible property, nor does it include any other gifts to the United States.

**RECORD SOURCE CATEGORIES:**

Information in this system of records comes from the individual to whom it applies, executors, administrators, and other involved persons.

**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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

- (1) Appropriate federal, state, local, or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;
- (2) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;
- (3) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;
- (4) Agents or contractors of the Department for the purpose of administering the public debt of the United States;
- (5) A federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;
- (6) The Internal Revenue Service for the purpose of confirming whether a tax-deductible event has occurred;

(7) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (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 Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(8) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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;

(9) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation;

(10) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906; and

(11) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity.

## **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

## **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

These records are retrieved by the name of the donor, amount of gift, type of gift, date of gift, Social Security number of donor, if provided, control number, check number, state code, or other assigned identifier.

## **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

## **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, that are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

## **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in [\*11808] the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**NOTIFICATION PROCEDURES:**

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

**EXEMPTIONS PROMULGATED FOR THE SYSTEM:**

None.

**HISTORY:**

Notice of this system of records was last published in full in the **Federal Register** on August 17, 2011 (76 FR 51128) as the Department of the Treasury, Bureau of the Public Debt .007—Gifts to Reduce the Public Debt.

**Treasury/Fiscal Service .020**

**SYSTEM NAME AND NUMBER:**

Department of the Treasury, Bureau of the Fiscal Service .020—U.S. Treasury Securities Fraud Information System.

**SECURITY CLASSIFICATION:**

Information in this system is not classified.



## **SYSTEM LOCATION:**

Bureau of the Fiscal Service, U.S. Department of the Treasury, 200 Third Street, Parkersburg, WV 26106-1328; Bureau of the Fiscal Service, U.S. Department of the Treasury, 3201 Pennsy Drive, Warehouse "E", Landover, MD 20785. This system also covers the Fiscal Service records that are maintained by contractor(s) under agreement. The system manager maintains the system location of these records. The addresses of the contractor(s) may be obtained from the system manager below.

## **SYSTEM MANAGER(S):**

- (1) Assistant Commissioner, Office of Information Technology, Bureau of the Fiscal Service, 200 Third Street, Parkersburg, WV 26106-1328;
- (2) Assistant Commissioner, Retail Securities Services, Bureau of the Fiscal Service, 200 Third Street, Parkersburg, WV 26106-1328; and
- (3) Office of the Chief Counsel, Bureau of the Fiscal Service, 200 Third Street, Parkersburg, WV 26106-1328.

## **AUTHORITY FOR MAINTENANCE OF THE SYSTEM**

[31 U.S.C. 321\(a\)\(5\)](#), [31 U.S.C. 333](#), [31 U.S.C. 3101](#), *et seq.* [31 U.S.C. 5318](#), and [5 U.S.C. 301](#).

## **PURPOSE(S) OF THE SYSTEM:**

Information in this system of records is collected and maintained to: (1) Identify and monitor fraudulent and suspicious activity related to Treasury securities, other U.S. obligations, and fictitious instruments; (2) ensure that the Fiscal Service provides a timely and appropriate notification of a possible violation of law to law enforcement and regulatory agencies; (3)

protect the Government and individuals from fraud and loss; (4) prevent the misuse of Treasury names and symbols on fraudulent instruments; and (5) compile summary reports that conform with the spirit of the USA Patriot Act's anti-terrorism financing provisions and the Bank Secrecy Act's anti-money laundering provisions, and submit the reports to the Financial Crimes Enforcement Network.

### **CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals under investigation or who make inquiries or report fraudulent or suspicious activities related to Treasury securities and other U.S. obligations.

### **CATEGORIES OF RECORDS IN THE SYSTEM:**

The types of personal information collected/used by this system are necessary to ensure the accurate identification of individuals who report or make fraudulent transactions involving Treasury securities, other U.S. obligations, and fictitious instruments. The types of personal information potentially could include the following:

- (1) Personal identifiers (name, including previous name used, and aliases; Social Security number; tax identification number; physical and electronic addresses; telephone, fax, and pager numbers); and
- (2) Authentication aids (personal identification number, password, account number, credit card number, shared-secret identifier, digitized signature, or other unique identifier).

Supporting records may contain correspondence between the Fiscal Service and the entity or individual suspected of fraud or individual submitting a complaint or inquiry, correspondence between the Fiscal Service and the Department, or correspondence between the Fiscal Service and law enforcement, regulatory bodies, or other third parties.

### **RECORD SOURCE CATEGORIES:**

Information in this system of records is exempt from the Privacy Act provision that requires that record source categories be reported. (See “Exemptions Promulgated for the System,” below.)

**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 the Privacy Act of 1974, [5 U.S.C. 552a\(b\)](#), records and/or information or portions thereof maintained as part of this system may be disclosed outside Treasury as a routine use pursuant to [5 U.S.C. 552a\(b\)\(3\)](#) as follows to:

- (1) A congressional office in response to an inquiry made at the request of the individual to whom the record pertains;
- (2) Appropriate federal, state, local or foreign agencies responsible for investigating or prosecuting a violation or for enforcing or implementing a statute, rule, regulation, order, or license, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure;
- (3) A federal, state, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, suitability determination, license, contract, grant, or other benefit;
- (4) A court, magistrate, mediator or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings;

(5) Third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation;

(6) Agents or contractors who have been engaged to assist the Fiscal Service in the performance of a service related to this system of records and who need to have access to the records in order to perform the activity;

(7) Appropriate agencies, entities, and person when (1) the Department of the Treasury and/or Fiscal Service suspects or has confirmed that there has been a breach of the system of records; (2) the Department of the Treasury and/or Fiscal Service has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Department of the Treasury and/or Fiscal Service (including its information systems, programs, and operations), the Federal [\*11809] Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with the Department of the Treasury's and/or Fiscal Service's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

(8) Another Federal agency or Federal entity, when the Department of the Treasury and/or Fiscal Service 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; and

(9) Representatives of the National Archives and Records Administration (“NARA”) who are conducting records management inspections under authority of [44 U.S.C. 2904](#) and 2906.

## **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records in this system are stored electronically or on paper in secure facilities in a locked drawer behind a locked door.

## **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records may be retrieved by (name, alias name, Social Security number, tax identification number, account number, or other unique identifier).

## **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

All data maintained by this Fiscal Service system of records are retained and destroyed in accordance with the Fiscal Service File Plan. All records schedules and categories within the Fiscal Service File Plan are approved by NARA.

## **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

These records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols, that are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records. Copies of records maintained on a computer have the same limited access as paper records.

## **RECORD ACCESS PROCEDURES:**

Individuals requesting information under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## **CONTESTING RECORD PROCEDURES:**

Individuals seeking to contest and/or amend records under the Privacy Act must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## NOTIFICATION PROCEDURES:

Individuals seeking to be notified if this system of record contains a record pertaining to himself or herself must follow the procedures set forth in the regulations of the U.S. Department of the Treasury published in 31 CFR part 1, subpart C, Appendix G.

## EXEMPTIONS PROMULGATED FOR THE SYSTEM:

Records maintained in this system have been designated as exempt from [5 U.S.C. 552a\(c\)\(3\)](#), (d)(1), (2), (3), and (4), (e)(1), (e)(4)(G), (H), and (I), and (f) pursuant to [5 U.S.C. 552a\(k\)\(2\)](#). See [31 CFR 1.36](#).<sup>7</sup>

## HISTORY:

Notice of this system of records was last published in full in the **Federal Register** on August 17, 2011 ([76 FR 51128](#)) as the Department of the Treasury, Bureau of the Public Debt .009—U.S. Treasury Securities Fraud Information System.

[FR Doc. 2020-03969 Filed 2-26-20; 8:45 am]

BILLING CODE 4810-35-P

## Dates

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**DATES:** Submit comments on or before March 30, 2020. The new routine uses will be applicable on March 30, 2020 unless Treasury receives comments and determines that changes to the system of records notice are necessary.

## Contacts

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<sup>7</sup> As noted in the Supplementary Information section, this SORN is the successor to BPD SORN .009 (U.S. Treasuries Securities Fraud Information System). Therefore, references to BPD .009 in 31 CFR part 1 should be construed as a reference to this SORN.

**ADDRESSES:** David J. Ambrose, Chief Security Officer/Chief Privacy Officer, Bureau of the Fiscal Service, 3201 Pennsy Drive, Warehouse “E”, Landover, MD 20785.

**FOR FURTHER INFORMATION CONTACT:** David J. Ambrose, Chief Security Officer/Chief Privacy Officer, Bureau of the Fiscal Service, 202-874-6488.

FEDERAL REGISTER

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