

Decided: May 27, 2015.

By the Board, Rachel D. Campbell,  
Director, Office of Proceedings.

**Brendetta S. Jones,**  
*Clearance Clerk.*

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## DEPARTMENT OF THE TREASURY

### Office of the Comptroller of the Currency

#### Privacy Act of 1974, as Amended

**AGENCY:** Office of the Comptroller of the  
Currency, Treasury.

**ACTION:** Notice of proposed new Privacy  
Act system of records.

**SUMMARY:** In accordance with the  
requirements of the Privacy Act of 1974,  
as amended, 5 U.S.C. 552a, the Office of  
the Comptroller of the Currency (OCC)  
gives notice of a proposed new system  
of records entitled “Treasury/CC .800—  
Office of Inspector General  
Investigations System.”

**DATES:** Comments must be received no  
later than July 1, 2015. This new system  
of records will be effective July 6, 2015  
unless the OCC receives comments that  
would result in a contrary  
determination.

**ADDRESSES:** Because paper mail in the  
Washington, DC area and at the OCC is  
subject to delay, commenters are  
encouraged to submit comments by  
email, if possible. Please use the title  
“Notice of Proposed New Privacy Act  
System of Records” to facilitate the  
organization and distribution of the  
comments. You may submit comments  
by any of the following methods:

- *Email:* [regs.comments@occ.treas.gov](mailto:regs.comments@occ.treas.gov).
- *Mail:* Legislative and Regulatory  
Activities Division, Office of the  
Comptroller of the Currency, 400 7th  
Street SW., Suite 3E-218, Mail Stop  
9W-11, Washington, DC 20219.
- *Hand Delivery/Courier:* 400 7th  
Street SW., Suite 3E-218, Mail Stop  
9W-11, Washington, DC 20219.
- *Fax:* (571) 465-4326.

*Instructions:* You must include  
“OCC” as the agency name and the  
docket number in your comment. In  
general, OCC will enter all comments  
received into the docket without  
change, including any business or  
personal information that you provide  
such as name and address information,  
email addresses, or phone numbers.  
Comments received, including  
attachments and other supporting  
materials, are part of the public record

and subject to public disclosure. Do not  
enclose any information in your  
comment or supporting materials that  
you consider confidential or  
inappropriate for public disclosure.

You may review comments and other  
related materials that pertain to this  
notice by appearing personally to  
inspect and photocopy comments at the  
OCC, 400 7th Street SW., Washington,  
DC. For security reasons, the OCC  
requires that visitors make an  
appointment to inspect comments. You  
may do so by calling (202) 649-6700.  
Upon arrival, visitors will be required to  
present valid government-issued photo  
identification and to submit to security  
screening in order to inspect and  
photocopy comments.

#### FOR FURTHER INFORMATION CONTACT:

Kristin Merritt, Special Counsel,  
Administrative and Internal Law, Office  
of the Comptroller of the Currency, 400  
7th Street SW., Washington, DC 20219.  
Phone: (202) 649-5585 (not a toll-free  
number).

**SUPPLEMENTARY INFORMATION:** By this  
notice, the OCC announces its intent to  
maintain a new Privacy Act system of  
records in its Office of Enterprise  
Governance and the Ombudsman.

A proposed rule exempting the  
proposed system of records from certain  
provisions of the Privacy Act pursuant  
to 5 U.S.C. 552a(k)(2) will be published  
separately in the **Federal Register**.

As required by 5 U.S.C. 552a(r), a  
report of a new system of records has  
been provided to the Committee on  
Oversight and Government Reform of  
the House of Representatives, the  
Committee on Homeland Security and  
Governmental Affairs of the Senate, and  
the Office of Management and Budget.

The system of records entitled  
“Treasury/CC .800—Office of Inspector  
General Investigations System” is  
published in its entirety below.

**Helen Goff Foster,**

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

#### Treasury/CC .800

##### SYSTEM NAME:

Office of Inspector General  
Investigations System

##### SYSTEM LOCATION:

OCC Headquarters, Office of  
Enterprise Governance and the  
Ombudsman, 400 7th Street SW.,  
Washington, DC.

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

(1) Current and former OCC  
employees who are being investigated

by the Treasury Office of the Inspector  
General;

(2) Current and former OCC  
contractors who are being investigated  
by the Treasury Office of the Inspector  
General (OIG); and

(3) Current and former directors,  
officers, employees, shareholders, and  
independent contractors of financial  
institutions who are being investigated  
by the OIG.

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

Referrals regarding potential or  
alleged violations of laws, rules or  
regulations; names of targets,  
complainants, managers, Enterprise  
Governance staff and other government  
employees who may be named in  
referral or investigative documents;  
documents regarding resolutions and  
remedial action in connection with  
referrals; other supporting  
documentation, including bank-related  
information, investigative  
documentation, and correspondence  
related to investigations.

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

5 U.S.C. App. 3; 12 U.S.C. 1, as  
amended; 31 CFR 0.207.

##### PURPOSES(S):

This system of records is used by the  
OCC to monitor the OIG's referrals and  
investigations related to the OCC.

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

Records in this system may be  
disclosed to:

(1) An OCC-regulated entity when the  
information is relevant to the entity's  
operations;

(2) Third parties to the extent  
necessary to obtain information that is  
relevant to an investigation;

(3) Appropriate governmental or self-  
regulatory organizations when the OCC  
determines that the records are relevant  
and necessary to the governmental or  
self-regulatory organization's regulation  
and supervision of financial service  
providers, including the review of the  
qualifications and fitness of individuals  
who are or propose to become  
responsible for the business operations  
of such providers;

(4) An appropriate governmental,  
international, tribal, self-regulatory, or  
professional organization if the  
information is relevant to a known or  
suspected violation of a law or licensing  
standard within that organization's  
jurisdiction;

(5) A Federal, State, local, or tribal  
agency, or other public authority, which  
has requested information relevant or  
necessary to hiring or retaining an

employee, or issuing or continuing a contract, security clearance, license, grant, or other benefit;

(6) The Department of Justice, a court, an adjudicative body, a party in litigation, or a witness if the OCC determines that the information is relevant and necessary to a proceeding in which the OCC, any OCC employee in his or her official capacity, any OCC employee in his or her individual capacity represented by the Department of Justice or the OCC, or the United States is a party or has an interest;

(7) A congressional office when the information is relevant to an inquiry made at the request of the individual about whom the record is maintained;

(8) A contractor or agent who needs to have access to this system of records to perform an assigned activity;

(9) Third parties when mandated or authorized by statute; or

(10) Appropriate agencies, entities, and persons when: (a) The OCC suspects or has confirmed that the security or confidentiality of information in the system of records has been compromised; (b) the OCC has determined that as a result of the suspected or confirmed compromise there is a risk of harm to economic or property interests, identity theft or fraud, or harm to the security or integrity of this system or other systems or programs (whether maintained by the OCC or another agency or entity) that rely upon the compromised information; and (c) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with the OCC's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Paper records and electronic media.

**RETRIEVABILITY:**

Records may be retrieved by name; social security number; OIG tracking number; the date a referral is received, transmitted or closed; another personal identifier of person about whom a referral is made; or by OCC employee name or identification number for the employee assigned to a particular matter.

**SAFEGUARDS:**

Paper records are maintained in locked file cabinets with access limited to those personnel whose official duties require access. Access to electronic systems is restricted to authorized personnel who are issued non-transferrable access codes and passwords.

**RETENTION AND DISPOSAL:**

Records will be retained for 7 years, and the office of Enterprise Governance and the Ombudsman will destroy records older than 7 years in accordance with OCC Records Retention Schedule item 1.2c (7-year project files), and continue to do so annually.

**SYSTEM MANAGER(S) AND ADDRESS:**

Senior Deputy Comptroller for Enterprise Governance and the Ombudsman, 400 7th Street SW., Washington, DC 20219. Phone: (202) 649-5530 (not a toll-free number).

**NOTIFICATION PROCEDURE:**

This system of records contains records that are exempt from the notification, access and contest requirements pursuant to 5 U.S.C. 552a(k)(2). Individuals seeking notification and access to any non-exempt record contained in this system of records, or seeking to contest its content, may inquire in writing in accordance with instructions appearing at 31 CFR, Part 1, subpart C, and appendix J to subpart C. Written inquiries should be addressed to Disclosure Officer, Communications Division, Office of the Comptroller of

the Currency, 400 7th Street SW., Washington, DC 20219.

Identification requirements: An individual seeking notification through the mail must establish his or her identity by providing a signature and an address as well as one other identifier bearing the individual's name and signature (such as a photocopy of a driver's license or other official document). An individual seeking notification in person must establish his or her identity by providing proof in the form of a single official document bearing a photograph (such as a passport or identification badge) or two items of identification that bear both a name and a signature.

Alternatively, identity may be established by providing a notarized statement, swearing or affirming to an individual's identity, and to the fact that the individual understands the penalties provided in 5 U.S.C. 552a(i)(3) for requesting or obtaining information under false pretenses.

Additional documentation establishing identity or qualification for notification may be required such as in an instance where a legal guardian or representative seeks notification on behalf of another individual.

**RECORD ACCESS PROCEDURES:**

See "Notification Procedure" above.

**CONTESTING RECORDS PROCEDURES:**

See "Notification Procedure" above.

**RECORD SOURCE CATEGORIES:**

Treasury and other Federal agency records, including referrals from the OCC to the OIG and referrals received from the OIG.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

Some of the records in this system are exempt from sections 5 U.S.C. 552a(c)(3), (d)(1)-(4), (e)(1), (e)(4)(G)-(I), and, (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). See 31 CFR 1.36.

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