

Office of Thrift Supervision

[No. 94-260]

**Privacy Act of 1974 as Amended;
Systems of Records****AGENCY:** Office of Thrift Supervision,
Treasury.**ACTION:** Notice of Privacy Act Systems of
Records.**SUMMARY:** The Office of Thrift
Supervision (OTS) is publishing this
notice to notify all interested parties of
its complete systems of records in
accordance with the Privacy Act of
1974, 5 U.S.C. 552a (Privacy Act).**EFFECTIVE DATE:** Comments must be
received no later than April 13, 1995.The systems will be effective May 15,
1995, unless the OTS receives
comments on the systems which would
result in a contrary determination.**ADDRESSES:** Send comments to: Director,
Information Services Division, Records
and Management Information, Office of
Thrift Supervision, 1700 G Street, NW.,
Washington, DC, 20552, Attention
Docket No. 94-260. These submissions
may be hand delivered to 1700 G Street,
NW., from 9 a.m. to 5 p.m. on business
days; they may be sent by facsimile
transmission to FAX number (202) 906-
7755. Submissions must be received by
5 p.m. on the date that they are due in
order to be considered by the OTS.
Comments will be available for
inspection at 1700 G Street, NW., from
1 p.m. until 4 p.m. on business days.
Visitors will be escorted to and from the
Public Reading Room at established
intervals.**FOR FURTHER INFORMATION CONTACT:**
Mary Ann Reinhart, Chief, Disclosure
Branch, Office of Thrift Supervision,
1700 G Street, NW, Washington, DC
20552, Telephone No. (202) 906-5896.**SUPPLEMENTARY INFORMATION:** The
Federal Home Loan Bank Board
(FHLBB), the OTS's predecessor in
interest, for purposes of the Privacy Act,
was abolished by the Financial
Institutions Reform, Recovery, and
Enforcement Act of 1989 (FIRREA), Pub.
L. 101-73, 103 Stat. 183, enacted August
9, 1989. The Privacy Act regulations
formerly appearing at 12 CFR part 505a
were substantially superseded because
the OTS, as a component part of the
Treasury Department, is covered by the
Privacy Act regulations appearing at 31
CFR part 1, subpart C. At 54 FR 49411,
Nov. 30, 1989, chapter V was revised. At
55 FR 43434, October 29, 1990, the OTS
adopted the systems of records of the
FHLBB. 12 CFR part 503 was published
as an interim measure to ensure that all
necessary and appropriate informationwas available to the public concerning
OTS's Privacy Act provisions. A
complete list of the systems of records
is attached.

Dated: March 6, 1995.

Alex Rodriguez,
*Deputy Assistant Secretary (Administration).***Table of Contents**

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Treasury/OTS .001**SYSTEM NAME:**Confidential Individual Information
System.**SYSTEM LOCATION:**Office of Thrift Supervision,
Department of the Treasury, 1700 G
Street, NW., Washington, DC 20552.
See Appendix A for appropriate local
address of OTS Regional Offices.**CATEGORIES OF INDIVIDUALS COVERED BY THE
SYSTEM:**These records contain certain
information concerning individuals who
have filed notices of intention to acquire
control of a savings association;
controlling persons of companies that
have applications to acquire control of
a savings association; organizers of
savings associations who have sought
Federal Savings and Loan Insurance
Corporation or Savings Association
Insurance Fund insurance of accounts
or federal charters; individuals who
have been the subject of administrative
enforcement actions or other civil
actions by any agency with authority to
supervise or regulate federally insured
depository institutions; those who have
been named in criminal referrals by
such agencies or by federally insured
depository institutions or who have
been referred to professional societies,
licensing authorities or ethics
committees for disciplinary purposes;
individuals identified as the subjects of
criminal investigations by the
Department of Justice or state law
enforcement authorities in connectionwith the operation of Federally insured
depository institutions; individuals
denied employment as senior executive
officers with or member of a board of
directors of a savings association or
savings and loan holding company
pursuant to 12 U.S.C. section 1831i; and
persons engaging in significant business
transactions with savings associations.
This system also contains the identity of
the custodian of any documents
describing the specific event causing
entry into the system.**CATEGORIES OF RECORDS IN THE SYSTEM:**These records identify the individual
involved, and his or her relationship to
the savings association, service
corporation or savings and loan holding
company; identify and describe the
event causing entry of information into
the system (e.g., a change in control
filing, enforcement action, or criminal
referral) and any regulatory, judicial, or
supervisory action taken as a result; and
the location and nature of any
additional records concerning the
specific event.**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

12 U.S.C. 1464.

PURPOSE(S):This system is the primary OTS
database to record information on
individuals subject to criminal referrals,
enforcement actions, liability suits, or
investigations on unusual transactions;
and on application activity to acquire
control, obtain a charter, elect an officer
of a thrift, and several other application
types. It also keeps track of the names
of criminal referrals and individual
defendants in directors' and officers'
liability lawsuits brought by Federal
banking agencies.**ROUTINE USES OF RECORDS MAINTAINED IN THE
SYSTEM, INCLUDING CATEGORIES OF USERS AND
THE PURPOSES OF SUCH USES:**Information in these records may be
used to:(1) Provide the Department of Justice
with periodic reports on the number,
place, and individual identify of
outstanding potential criminal
violations of the law that have been
referred to the Department;(2) provide information or records to
any other appropriate domestic or
foreign governmental agency or self-
regulatory organization charged with the
responsibility of administering law or
investigating or prosecuting violations
of law or charged with enforcing or
implementing a statute, rule, regulation,
order or license;(3) provide information to third
parties during the course of an
investigation to the extent necessary to

obtain information pertinent to the investigation;

(4) provide information to receivers or conservators of savings associations or formerly insured savings associations;

(5) when considered appropriate, provide information to a bar association, the American Institute of Certified Public Accountants, or other professional organizations performing similar functions, for possible disciplinary action; and

(6) provide information to any person with whom the OTS contracts to reproduce, by typing, photocopying or other means, any record within this system for use by the OTS and its staff in connection with their official duties or to any person who is utilized by the OTS to perform clerical or stenographic functions relating to the official business of the OTS.

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

STORAGE:

Records are maintained in paper files and on magnetic media.

RETRIEVABILITY:

Records are retrievable by the name of the individual and/or by the individual's relationship to the thrift or thrift holding company involved.

SAFEGUARDS:

Paper records are maintained in locked file cabinets with access limited to those persons who have need for information from the system in the performance of their duties. Access to computerized records is limited, through the use of a password, to those whose official duties require access.

RETENTION AND DISPOSAL:

Records are retained for fifteen years and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

National Administrator, Corporate Activities Division. See "System Location" for address.

NOTIFICATION PROCEDURE:

This system is exempt from notification and record-access requirements and requirements that an individual be permitted to contest its contents under 5 U.S.C. 552a (j)(2) and (k)(2) as relating to investigatory material compiled for law enforcement purposes.

RECORD ACCESS PROCEDURES:

See "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:

See "Notification Procedure" above.

RECORD SOURCE CATEGORIES:

This system is exempted under 5 U.S.C. 552a (j)(2) and (k)(2) from the requirements that the sources of records used in the system be published, because it contains investigatory material compiled for law enforcement purposes.

EXEMPTIONS CLAIMED FOR THE SYSTEM:

This system is exempt from 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a (j)(2) and (k)(2).

Treasury/OTS .002

SYSTEM NAME:

Correspondence/Correspondence Tracing.

SYSTEM LOCATION:

Office of Thrift Supervision, Department of the Treasury, 1700 G Street, NW., Washington, DC 20552.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

White House and Executive Office of the President officials, Members of Congress, Treasury Department officials, the general public, and businesses.

CATEGORIES OF RECORDS IN THE SYSTEM:

Incoming correspondence addressed to the Director of OTS; letters from members of Congress transmitting letters from constituents or making inquiries; OTS responses; OTS memoranda and notes used to prepare responses; and information concerning internal office assignments, processing and response to the correspondence.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301.

PURPOSE(S):

To maintain written records of correspondence addressed to the Director of OTS and Congressional correspondence; to track the progress of the response; to document the completion of the response to the incoming correspondence.

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

(1) Disclosures may be made to a Congressional office from the records of an individual in response to an inquiry made at the request of the individual to whom the record pertains;

(2) Information may be disclosed to the appropriate governmental agency charged with the responsibility of administering law or investigating or prosecuting violations of law or charged with enforcing or implementing a statute, rule, regulation, order or license.

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

STORAGE:

Records are maintained in magnetic media and in paper files.

RETRIEVABILITY:

Records are maintained by name of individual; assignment control number.

SAFEGUARDS: Access to paper records is limited to authorized personnel with a direct need to know. Some paper records are maintained in locked file cabinets in a secured office with access limited to those personnel whose official duties require access. Access to computerized records is limited, through the use of a password, to those whose official duties require access.

RETENTION AND DISPOSAL:

Computerized records and paper records are retained for two (2) years after the Director's or member of Congress' term, then transferred directly to the National Archives.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Congressional Affairs. See "System Location" for address.

NOTIFICATION PROCEDURE:

Individuals wishing to be notified if they are named in this system or gain access to records maintained in this system must submit a request containing the following elements:

- (1) Identify the record system;
- (2) identify the category and type of records sought; and
- (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Chief, Disclosure Branch, Office of Thrift Supervision, 1700 G Street, NW., Washington, DC 20552.

RECORD ACCESS PROCEDURES:

See "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:

See "Notification Procedure" above.

RECORD SOURCE CATEGORIES:

Incoming correspondence and Office of Thrift Supervision responses.

EXEMPTIONS CLAIMED FOR THE SYSTEM:

None.

Treasury/OTS .003

SYSTEM NAME:

Consumer Complaint System.

SYSTEM LOCATION:

Office of Thrift Supervision, Department of the Treasury, 1700 G Street, NW., Washington, DC., 20552.

See Appendix A for appropriate local address of OTS Regional Offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Persons who submit inquiries of complaints concerning federally insured depository institutions, service corporations, and subsidiaries.

CATEGORIES OF RECORDS IN THE SYSTEM:

Consumer's name, savings association's docket number, case number as designated by a Consumer Complaint Case number. Within these categories of records, the following information may be obtained: Consumer's address, source of inquiry or complaint, nature of the inquiry or complaint, nature of the inquiry or complaint designated by instrument and complaint code, information on the investigation and resolution of inquiries and complaints.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

PURPOSE(S):

OTS uses this system to track individual complaints and to provide additional information about each institution's compliance with regulatory requirements.

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

- (1) Information may be disclosed to officials of regulated savings associations in connection with investigation and resolution of complaints and inquiries;
- (2) relevant information may be made available to appropriate law enforcement agencies or authorities in connection with investigation and/or prosecution of alleged civil, criminal and administrative violations;
- (3) disclosures may be made to a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains;
- (4) disclosures may be made to other Federal and nonfederal governmental supervisory or regulatory authorities when the subject matter is within such other agency's jurisdiction.

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

STORAGE:

Records are maintained in paper files and on magnetic media.

RETRIEVABILITY:

By name of the individual, complaint case number, savings association name, docket number, district complaint code, instrument code, source code or by some combination thereof.

SAFEGUARDS:

Paper records are maintained in locked file cabinets with access limited to those personnel whose official duties require access. Access to computerized records is limited, through use of system passwords, to those whose official duties require access.

RETENTION AND DISPOSAL:

Active files are maintained until the case is closed. Closed files are retained for six (6) years then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Manager, Consumer Programs, See "System Location" for address.

NOTIFICATION PROCEDURE:

Individuals wishing to be notified if they are named in this system or gain access to records maintained in this system must submit a request containing the following elements:

- (1) Identify the record system;
- (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Chief, Disclosure Branch, Office of Thrift Supervision, 1700 G Street, NW., Washington, DC 20552.

RECORD ACCESS PROCEDURES:

See "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:

See "Notification Procedure" above.

RECORD SOURCE CATEGORIES:

Inquirer or complainant (or his or her representative which may include a member of Congress or an attorney); savings association officials and employees; compliance/safety and soundness examiner(s); and other supervisory records.

EXEMPTIONS CLAIMED FOR THE SYSTEM:

None.

Treasury/OTS .004

SYSTEM NAME:

Criminal Referral Database.

SYSTEM LOCATION:

Office of Thrift Supervision, Department of the Treasury, 1700 G Street, NW., Washington, DC 20552. See Appendix A for appropriate local address of OTS Regional Offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals suspected of having committed crime(s) and individuals indicated or convicted of crime(s) against or involving savings associations.

CATEGORIES OF RECORDS IN THE SYSTEM:

Criminal Referrals.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

12 U.S.C. 1464; 44 U.S.C. 3101.

PURPOSE(S):

This system lists all matters referred to the Department of Justice for possible criminal proceedings.

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

Information may be disclosed to the appropriate governmental agency charged with the responsibility of administering law or investigating or prosecuting violations of law or charged with enforcing or implementing a statute, rule, regulation, order or license.

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

STORAGE:

Records are maintained in paper files and on magnetic media.

RETRIEVABILITY:

Records are filed by name of individual, savings institution or referral control number.

SAFEGUARDS:

Paper records are maintained in locked file cabinets. Access is limited to personnel whose official duties require such access and who have a need to know the information in a record for a job-related purpose. Access to computerized records is limited, through use of a password, to those whose official duties require access.

RETENTION AND DISPOSAL:

Records are retained and disposed of in accordance with appropriate National Archives and Records Administration General Records Schedules.

SYSTEM MANAGER(S) AND ADDRESS:

Chief Counsel, Office of Enforcement. See "System Location" for address.

NOTIFICATION PROCEDURE:

This system is exempt from notification and record-access requirements and requirements that an individual be permitted to contest its contents under 5 U.S.C. 552a(j)(2) and (k)(2) as relating to investigatory material compiled for law enforcement purposes.

RECORD ACCESS PROCEDURES:

See "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:

See "Notification procedure" above.

RECORD SOURCE CATEGORIES:

Criminal referral forms compiled for law enforcement purposes.

EXEMPTIONS CLAIMED FOR THE SYSTEM:

This system is exempt from 5 U.S.C. 552a(c)(3), (c)(4), (d), (e)(1), (e)(4) (G), (H) and (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2) and (k)(2).

Treasury/OTS .005**SYSTEM NAME:**

Employee Counseling Service.

SYSTEM LOCATION:

Office of Thrift Supervision,
Department of the Treasury, 1700 G
Street, NW., Washington, DC 20552.
See appendix A for appropriate local
address of OTS Regional Officers.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Employees who seek counseling services.

CATEGORIES OF RECORDS IN THE SYSTEM:

Counseling records.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301, 44 U.S.C. 3101.

PURPOSE(S):

To provide a history and record of the employee counseling session(s) and to assist the counselor in identifying and resolving employee problem(s).

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

The system will have minimal effect on individual privacy because access is limited to the employee counseling service program counselor. Under special and emergency circumstances records may be released to medical personnel, research personnel, and as result of a court order.

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

Records are maintained in paper files.

RETRIEVABILITY:

Records are retrieved by a number assigned to employee.

SAFEGUARDS:

Records are maintained in locked file cabinet. Access is limited to the employee counselor.

RETENTION AND DISPOSAL:

Records are retained and disposed of in accordance with the appropriate National Archives and Records

Administration General Records Schedules.

SYSTEM MANAGER(S) AND ADDRESS:

Director of Human Resources. See "System Location" for address.

NOTIFICATION PROCEDURE:

Individuals wishing to be notified if they are named in this system or gain access to records maintained in this system must submit a request containing the following elements:

- (1) Identify the record system;
- (2) identify the category and type of records sought; and
- (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Chief, Disclosure Branch, Office of Thrift Supervision, 1700 G Street, NW., Washington, DC 20552.

RECORD ACCESS PROCEDURES:

See "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:

See "Notification Procedure" above.

RECORD SOURCE CATEGORIES:

Employees and Counselors.

EXEMPTIONS CLAIMED FOR THE SYSTEM:

None.

Treasury/OTS .006**SYSTEM NAME:**

Employee Locator File.

SYSTEM LOCATION:

Office of Thrift Supervision,
Department of the Treasury, 1700 G
Street, NW., Washington, DC 20552.
See Appendix A for appropriate local
address of OTS Regional Offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All present employees of the OTS and persons whose employment has been terminated within the last six months.

CATEGORIES OF RECORDS COVERED BY THE SYSTEM:

Employee's name, present address, telephone number, and the name, address, and telephone number of another person to notify in case of emergency.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301, 44 U.S.C. 3101.

PURPOSE(S):

This system provides current information on employee's address and emergency contact person.

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

(1) Disclosure of information may be made to a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains;

(2) Medical personnel in case of an emergency.

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

Records are maintained in paper files and on magnetic media.

RETRIEVABILITY:

Records are filed by name of individual.

SAFEGUARDS:

Paper records are maintained in locked file cabinets. Access is limited to personnel whose official duties require such access and who have a need to know information in a record for a particular job-related purpose. Access to computerized records is limited, through use of a password, to those whose official duties require access.

RETENTION AND DISPOSAL:

Records are maintained until the termination of the employee's employment with OTS. After termination, records are retained for six months then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Human Resources. See "System Location" for address.

NOTIFICATION PROCEDURE:

Individuals wishing to be notified if they are named in this system or gain access to records maintained in this system must submit a request containing the following elements:

- (1) Identify the record system;
- (2) Identify the category and type of records sought; and
- (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Chief, Disclosure Branch, Office of Thrift Supervision, 1700 G Street, NW., Washington, DC 20552.

RECORD ACCESS PROCEDURES:

See "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:

See "Notification Procedure" above.

RECORD SOURCE CATEGORIES:

The individual whose record is being maintained.

EXEMPTIONS CLAIMED FOR THE SYSTEM:

None.

Treasury/OTS .007**SYSTEM NAME:**

Employee Parking.

SYSTEM LOCATION:

Office of Thrift Supervision,
Department of the Treasury, 1700 G
Street, NW., Washington, DC 20552.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All OTS employees (and their corresponding car-pool members) who apply for agency-controlled parking.

CATEGORIES OF RECORDS IN THE SYSTEM:

Information is contained in parking applications and computerized reports and consists of (for each rider): Name, home address, office phone number, and place of employment (for non-OTS riders). For OTS employees only: Work hours, supervisor's name, office code, social security number and years of service.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301, 44 U.S.C. 3101.

PURPOSE(S):

To control and maintain parking applications and spaces.

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

No disclosures are made outside of OTS.

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

Records are maintained in paper files and on magnetic media.

RETRIEVABILITY:

Records are filed by parking pass number, name of OTS employee and social security number.

SAFEGUARDS:

Paper records are maintained in locked file cabinets. Access is limited to personnel whose official duties require such access and who have a need to know the information in a record for a job-related purpose. Access to computerized records is limited, through use of a password, to those whose official duties require access.

RETENTION AND DISPOSAL:

Records are retained and disposed of in accordance with National Archives and Records Administration General Records Schedules.

SYSTEM MANAGER(S) AND ADDRESS:

Director for Administration. See "System Location" for address.

NOTIFICATION PROCEDURE:

Individuals wishing to be notified if they are named in this system or gain access to records maintained in this system must submit a request containing the following elements:

- (1) Identify the record system;
- (2) Identify the category and type of records sought; and
- (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Chief, Disclosure Branch, Office of Thrift Supervision, 1700 G Street, NW., Washington, DC 20552.

RECORD ACCESS PROCEDURES:

See "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:

See "Notification Procedure" above.

RECORD SOURCE CATEGORIES:

Applications submitted by OTS employees and non-OTS riders.

EXEMPTIONS CLAIMED FOR THE SYSTEM:

None.

Treasury/OTS .008**SYSTEM NAME:**

Employee Training Database.

SYSTEM LOCATION:

Office of Thrift Supervision,
Department of the Treasury, 1700 G
Street, NW., Washington, DC 20552.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All employees of the Office of Thrift Supervision.

CATEGORIES OF RECORDS IN THE SYSTEM:

Individual employee records are maintained by name, course taken, social security number, position, division, and manager name.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301 and 44 U.S.C. 3101.

PURPOSE(S):

To maintain necessary information on training taken by employees through outside sources and vendors.

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

Records are not disclosed outside of OTS.

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

Records are maintained on magnetic media.

RETRIEVABILITY:

Records are filed by individual name, social security number and course taken.

SAFEGUARDS:

Access to computerized records is limited, through use of a password, to those whose official duties require access.

RETENTION AND DISPOSAL:

Records are retained and disposed of in accordance with the appropriate National Archives and Records Administration General Records Schedules.

SYSTEM MANAGER(S) AND ADDRESS:

Training Manager, Human Resources Division. See "System Location" for address.

NOTIFICATION PROCEDURES:

Individuals wishing to be notified if they are named in this system or gain access to records to maintained in this system must submit a request containing the following elements:

- (1) Identify the record system;
- (2) Identify the category and type of records sought; and
- (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Chief, Disclosure Branch, Office of Thrift Supervision, 1700 G Street, NW., Washington, DC 20552.

RECORD ACCESS PROCEDURES:

See "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:

See "Notification Procedure" above.

RECORD SOURCE CATEGORIES:

Personnel records and training request forms completed by employee.

EXEMPTIONS CLAIMED FOR THE SYSTEM:

None.

Treasury/OTS .009**SYSTEM NAME:**

Health Files.

SYSTEM LOCATION:

Office of Thrift Supervision,
Department of the Treasury, 1700 G
Street, NW., Washington, DC 20552.

Categories of individuals covered by the system:

Participating employees.

CATEGORIES OF RECORDS IN THE SYSTEM:
Health Records.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:
5 U.S.C. 301, 44 U.S.C. 3101.

PURPOSE(S):
To maintain records regarding medical care provided to employees of OTS by the health care unit which is now closed.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:
No disclosures are made outside of OTS.

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

STORAGE:
Records are maintained in paper files.

RETRIEVABILITY:
Records are maintained by name of individual.

SAFEGUARDS:
Records re maintained at the Federal Records Center. Only authorized personnel have access to location.

RETENTION AND DISPOSAL:
Records are retained and disposed of in accordance with the appropriate National Archives and Records Administration General Records Schedules.

SYSTEM MANAGER(S) AND ADDRESS:
Director, Human Resources. See "System Location" for address.

NOTIFICATION PROCEDURES:
Individuals wishing to be notified if they are named in this system or gain access to records maintained in this system must submit a request containing the following elements:
(1) Identify the record system;
(2) Identify the category and type of records sought; and
(3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Chief, Disclosure Branch, Office of Thrift Supervision, 1700 G Street, NW., Washington, DC 20552.

RECORD ACCESS PROCEDURES:
See "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:
See "Notification Procedure" above.

RECORD SOURCE CATEGORIES:
Health unit staff and subject of the record.

EXEMPTIONS CLAIMED FOR THE SYSTEM:
None.

Treasury/OTS .010

SYSTEM NAME:
Inquiry/Request Control System.

SYSTEM LOCATION:
Office of Thrift Supervision, Department of the Treasury, 1700 G Street, NW., Washington, DC 20052.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:
Persons who make inquiries, requests for records or information concerning activities of the OTS, regulated financial institutions and related individuals and organizations; e.g., holding companies, service corporations, directors of thrifts, advisors or representatives of the thrift industry and also requests for records under the Freedom of Information Act and the Privacy Act.

CATEGORIES OF RECORDS IN THE SYSTEM:
Selected items of information extracted from incoming inquiry, and records concerning internal office case assignments, processing and resolution of the inquiry/request.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:
5 U.S.C. 301.

PURPOSE(S):
To internally control work flow and assignments; to track progress of the inquiry/request; and to provide statistical information for budgetary, resource allocation, and statutory reporting purposes.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSE OF SUCH USES:
Disclosure of information may be made to a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

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

STORAGE:
Records are maintained in paper files and magnetic media.

RETRIEVABILITY:
Records are maintained by individual name, case control number, subject of inquiry, savings and loan association and/or financial institution, docket number, receipt date, inquiry code, disposition code, or any combination thereof.

SAFEGUARDS:
Paper records are maintained in secured offices with access limited to

those personnel whose official duties require access. Access to computerized records is limited, through use of a password, to those whose official duties require access.

RETENTION AND DISPOSAL:
Records are retained for one (1) year and then destroyed. Freedom of Information Act and Privacy Act records are retained and disposed of in accordance with appropriate National Archives and Records Administration General Records Schedule.

SYSTEM MANAGER(S) AND ADDRESS:
Director, Information Services Division. See "System Location" for address.

NOTIFICATION PROCEDURE:
Individuals wishing to be notified if they are named in this system or gain access to records maintained in this system must submit a request containing the following elements:
(1) Identify the record system;
(2) Identify the category and type of records sought; and
(3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Chief, Disclosure Branch, Office of Thrift Supervision, 1700 G Street, NW., Washington, DC 20552.

RECORD ACCESS PROCEDURES:
See "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:
See "Notification Procedure" above.

RECORD SOURCE CATEGORIES:
Incoming inquiry or request (by mail, fax, or telephone), internal case assignment notations, case control, and close-out forms.

EXEMPTIONS CLAIMED FOR THE SYSTEM:
None.

Treasury/OTS .011

SYSTEM NAME:
Positions/Budget.

SYSTEM LOCATION:
Office of Thrift Supervision, Department of the Treasury, 1700 G Street, NW., Washington, DC 20052.
See Appendix A for appropriate local address of OTS Regional Offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:
All current employees of the Office of Thrift Supervision.

CATEGORIES OF RECORDS IN THE SYSTEM:
Individual employee records are kept by office and agency as follows: Name,

title, entered on duty date, service computation date, occupation series, social security number, grade, current salary, location of employee, date of last promotion, and eligibility for promotion. Records are kept for each office (and, where appropriate, for the agency) on number of vacancies, authorized position ceilings, and number of employees.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:
5 U.S.C. 301, 44 U.S.C. 3101.

PURPOSE(S):

The system allows the OTS Budget Division the ability to track positions by office to assure the assigned Full-Time Equivalent ceilings are not exceeded and remain within the limits set by the Director of the OTS. The system also provides information to each office which can be used in developing their calendar year compensation budgets.

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

Information may be disclosed to the appropriate governmental agency charged with the responsibility of administering law or investigating or prosecuting violations of law or charged with enforcing or implementing a statute, rule, regulation, order or license.

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

STORAGE:

Records are maintained in paper files and magnetic media.

RETRIEVABILITY:

Records are filed by name of individual.

SAFEGUARD:

Paper records are maintained in file folders in secured areas. Access is limited to personnel whose official duties require such access and who have a need to know the information in a record for a particular job-related purpose. Access to computerized records is limited, through use of a password, to those whose official duties require access.

RETENTION AND DISPOSAL:

Records are being retained and disposed of in accordance with appropriate National Archives and Records Administration General Records Schedule.

SYSTEM MANAGER(S) AND ADDRESS:

Director Budget Division, See "System Location" for address.

NOTIFICATION PROCEDURE:

Individuals wishing to be notified if they are named in this system or gain access to records maintained in this system must submit a request containing the following elements:

- (1) Identify the record system;
- (2) Identify the category and type of records sought; and
- (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Chief, Disclosure Branch, Office of Thrift Supervision, 1700 G Street, NW., Washington, DC 20552.

RECORD ACCESS PROCEDURES:

See "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:

See "Notification Procedure" above.

RECORD SOURCE CATEGORIES:

Personnel records.

EXEMPTIONS CLAIMED FOR THE SYSTEM:

None.

Treasury/OTS .012

SYSTEM NAME:

Payroll/Personnel System & Payroll Records.

SYSTEM LOCATIONS:

Office of Thrift Supervision, Department of the Treasury, 1700 G Street NW., Washington, DC 20552.
See Appendix A for appropriate local address of OTS Regional Offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All current Office of Thrift Supervision (OTS) employees and all former employees of the OTS, within the past three years.

CATEGORIES OF RECORDS IN THE SYSTEM

Information pertaining to:

- (1) employee status, grade, salary, pay plan, hours worked, hours of leave taken and earned, hourly rate, gross pay, taxes, deductions, net pay, location, and payroll history;
- (2) employee's residence, office, social security number, and address;
- (3) Personnel actions (SF-50), State employees' withholding exemption certificates, Federal employees' withholding allowance certificates (W4), Bond Allotment File (SF-1192), Federal Employee's Group Life Insurance (SF-2810 & 2811), Savings Allotment-Financial Institutions, Address File (OTS Form 108), Union Dues Allotment, time and attendance reports, individual retirement records (SF-2806), Combined Federal Campaign allotment, direct

deposit, health benefits, and thrift investment elections to either the Federal Thrift Savings Plan (TSP-1) or OTS' Financial Institutions Savings Plan (FITP-107 and K 1-2).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:
5 U.S.C. 301, 44 U.S.C. 3101.

PURPOSE(S):

Provides all the key personnel and payroll data for each employee which is required for a variety of payroll and personnel functions.

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

(1) In the event that records maintained in this system of records indicate a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local, or foreign, charged with the responsibility of implementing the statute, or rule or regulation or order issued pursuant thereto;

(2) records from this system may be disclosed as a routine use to other Federal agencies including the Office of Personnel Management if necessary for or regarding the payment of salaries and expenses incident to employment at the Office of Thrift Supervision or other Federal employment, or the vesting, computation, and payment of retirement or disability benefits;

(3) records from this system may be necessary to support the assessment, computation, and collection of Federal, state, and local taxes, in accordance with established procedures;

(4) disclosure of information may be made to a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

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

STORAGE:

Records are maintained on magnetic media, microfiche, and in paper files.

RETRIEVABILITY:

Records are filed by individual name, social security number and by office.

SAFEGUARDS:

Paper and microfiche records are maintained in secured offices and access is limited to personnel whose official duties require such access and

who have a need to know the information in a record for particular job-related purpose. Access to computerized records is limited, through the use of a password, to those whose official duties require access.

RETENTION AND DISPOSAL:

Records are retained and disposed of in accordance with appropriate National Archives and Records Administration General Records Schedules.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Human Resources. See "System Location" for address.

NOTIFICATION PROCEDURE:

Individuals wishing to be notified if they are named in this system or gain access to records maintained in this system must submit a request containing the following elements:

- (1) Identify the records;
- (2) Identify the category and type of records sought; and
- (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Chief, Disclosure Branch, Office of Thrift Supervision, 1700 G Street NW., Washington, DC 20552.

RECORD ACCESS PROCEDURES:

See "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:

See "Notification Procedure" above.

RECORD SOURCE CATEGORIES:

Personnel and payroll records of current and former employees.

EXEMPTIONS CLAIMED FOR THE SYSTEM:

None.

Treasury/OTS .013**SYSTEM NAME:**

Personnel Security and Suitability Program.

SYSTEM LOCATION:

Office of Thrift Supervision, Department of the Treasury, 1700 G Street, NW., Washington, DC 20552.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current and former government employees and applicants applying for employment with the Office of Thrift Supervision.

CATEGORIES OF RECORDS IN THE SYSTEM:

Background investigations, limited background investigations, minimal

background investigations, national agency check investigations, periodic re-investigations, and FBI and other agency name checks, investigative information relating to personnel investigations conducted by the Department of the Treasury, the Office of Personnel Management, and other Federal agencies and departments on preplacement and postplacement basis to make suitability for employment determinations and for granting security clearances. Card records, automated data systems, or logs comprised of notices of personnel security and suitability investigations reflecting identification data on incumbents and former employees, and record type of E.O. 10450 investigations and degree and date of security clearance, if any.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Executive Order 10450, sections 2 and 3, Executive Order 12356, part 4, Executive Order 10577, 5 USC 3301, and 5 CFR parts 731, 732 and 736.

PURPOSE(S):

The purpose of the records in the Personnel Security and Suitability System is to enable the OTS to determine and document each employee's suitability or security risk for selection, employment and continued employment according to appropriate Federal regulations.

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

These records and information in these records may be disclosed to departmental and agency officials or other Federal agencies as relevant to or necessary for making suitability or employability retention or security clearance determinations.

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

File folders, logs and index cards.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Records are stored in locked metal containers and in locked rooms. They are limited to officials who have a need to know in the performance of their official duties. Officials are required to sign an access form.

RETENTION AND DISPOSAL:

Records are retained and disposed of in accordance with the appropriate

National Archives and Records Administration General Records Schedules.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Human Resources Division. See "System Location" for address.

NOTIFICATION PROCEDURE:

Individuals wishing to be notified if they are named in this system or gain access to records maintained in this system must submit a request containing the following elements:

- (1) Identify the record system;
- (2) Identify the category and type of records sought; and
- (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Chief, Disclosure Branch, Office of Thrift Supervision, 1700 G Street, NW, Washington, DC 20552.

RECORD ACCESS PROCEDURES:

See "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:

See "Notification Procedure" above.

RECORD SOURCE CATEGORIES:

Information is obtained from current and former employees, coworkers, neighbors, acquaintances, educational records and instructors, and police and credit record checks.

EXEMPTIONS CLAIMED FOR THE SYSTEM:

None.

Appendix A—Addresses of Office of Thrift Supervision Regional Offices:*Northeast Region*

10 Exchange Place Centre, 18th Floor, Jersey City, New Jersey 07302

Southeast Region

1475 Peachtree Street, NE., Atlanta, Georgia 30309

Central Region

111 East Wacker Drive, Suite 800, Chicago, Illinois 60601

Midwest Region

122 W. John Carpenter Freeway, Suite 600, Irving, Texas 75039

West Region

One Montgomery Street, Suite 400, San Francisco, California 94104

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