

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

- *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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