



## **The Department of the Treasury Report Pursuant to Section 803 of the Implementing Recommendations of the 9/11 Commission Act of 2007**

**March 31, 2009**

### Introduction

The Department of the Treasury is committed to protecting the privacy and civil liberties of individuals by ensuring that when executing its programs and policies, the Department gives due consideration and regard for information privacy and civil liberties. In recognition of global expansion of information technology (IT) posing new threats to individual privacy and civil liberties, the Department continues efforts to strengthen its oversight responsibilities in these areas.

### Department Actions

The Department remains proactively engaged in its efforts to protect personally identifiable information (PII). While the Office of Privacy and Civil Liberties is continuing efforts to educate the Department's workforce by creating directives, manuals, and other products that emphasize the importance of protecting PII, we are pleased to announce that the Department has further enhanced its privacy awareness training.

Although training has always been at the forefront of privacy initiatives, the Office of Privacy and Civil Liberties has created four privacy courses that have been loaded into production on the Department's newly-created Treasury Learning Management System (TLMS) platform. In response to Office of Management and Budget (OMB) Memorandum 07-16, requiring agencies to annually train employees on privacy and security responsibilities, the Office of Privacy and Civil Liberties has implemented a mandatory privacy course entitled, "A Culture of Privacy Awareness," which is now being offered Treasury-wide via TLMS. To go one step further, the privacy office has also implemented role-based privacy training for Treasury managers and IT representatives. The courses entitled, "Implementing Privacy in Treasury Information Systems", "Privacy and FOIA for Treasury Executives", and "Privacy for Treasury Supervisors" are now in production.

### Quarterly Report

The Department uses a standard reporting framework and instructions tailored to its mission and functions to address Section 803 reporting requirements. This framework has been coordinated with OMB, as well as with the other quarterly reporting agencies identified in the statute.

The attached March 2009 report consolidates all privacy and civil liberties activities of the Treasury and Bureau offices responsible for privacy and civil liberties functions,

including data on the related reviews conducted, reference to the advisory guidance delivered, and information about written complaints received and processed.

The report categories are defined as follows:

*Reviews.* Reviews include the activities of the Treasury or Bureau office that handles privacy or civil liberties functions delineated by controlling authorities, such as the Privacy Act of 1974, 5 USC 552a; E-Government Act of 2002 (P.L. 107-347); Consolidated Appropriations Act of 2005 (P.L. 108-447); Office of Management and Budget (OMB) Circular A-130, Appendix 1; and OMB Memo M-07-16. Examples of reviews include:

1. OMB Memo M-07-16, such as minimum records necessary, Social Security Number use reduction, or identity theft;
2. Privacy Impact Assessments;
3. OMB Circular A-130, such as System of Records Notice (SORN) Accurate Description, Agency Contacts Security, Recordkeeping and Disposal, Routine Use Compatibility, Training Practices, Continued Exemptions (j)(2) and/or (k), and/or Computer Matching Programs;
4. Persistent Tracking Technology;
5. Achievement of Machine Readability;
6. Officials Contact Information;
7. 5 CFR 1320, Compliance Review/Info Collection;
8. Information Sharing Environment, ISE system reviews;
9. OMB Circular A-11, Part 7, Exhibit 300 process; or
10. 36 CFR 1220.20, Records Management Review.

*Advice.* Advice includes the formal issuance of written policies, procedures, guidance, or interpretations of privacy requirements for circumstances or business processes, which the Treasury or Bureau office that handles privacy or civil liberties functions has written and which Treasury leadership has approved to respond to issues or concerns regarding safeguards for privacy and civil liberties.

*Response to Advice.* Specific action taken on privacy or civil liberties matters in response to *Advice* given by the Treasury or Bureau office that handles privacy or civil liberties functions. Examples of a response to advice include:

1. Regulation;
2. Order;
3. Directive;
4. Guidance;
5. Agreement;
6. Interpretation;
7. Training; or
8. Procedure.

*Privacy Complaint.* A written allegation of harm or violation of personal or information privacy filed with the Treasury or Bureau office that handles privacy or civil liberties activities. This information will include:

1. Notice: Process and procedural issues, such as consent, collection, and appropriate notice;
2. Redress: Non-Privacy Act of 1974 issues, such as Terrorist Watchlist Redress Procedures or identity theft mitigation; or
3. General: Privacy Act of 1974 issues.

*Civil Liberties Complaint.* A written allegation of harm or violation of the constitutional rights afforded individuals filed with the Treasury or Bureau office that handles privacy or civil liberties activities. Civil liberties complaints generally fall outside the realm of claims made based on statutory rights. Types of civil liberties complaints include, but are not limited to:

1. U.S. Const. amend. I, Freedom of speech and association;
2. U.S. Const. amend. IV, Protection against unreasonable search and seizure; or
3. U.S. Const. amend. V and amend. XIV, § 1, Due process and equal protection.

*Disposition of Complaint.* Generally, an action taken by the Treasury or Bureau office that handles privacy or civil liberties activities in response to a privacy or civil liberties complaint. The response to a complaint will be reported as follows:

1. Treasury or Bureau office is able to assist in addressing the complaint;
2. Treasury or Bureau office referred the complaint to another agency or entity that may be able to assist in addressing the complaint; or
3. Treasury or Bureau office was unable to assist regarding the complaint.

#### Report Schedule

The current report covers data collection from December 1, 2008 to February 28, 2009. The next quarterly report will be provided on June 30, 2009, and will cover the period of March 1, 2009, to May 31, 2009.