

## **CFPB.011**

### **SYSTEM NAME:**

Correspondence Tracking Database

### **SYSTEM LOCATION:**

Bureau of Consumer Financial Protection, 1700 G Street NW, Washington, DC 20552.

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

Individuals who submit correspondence, or who have correspondence submitted on their behalf to the Bureau, or who request to receive correspondence from the Bureau, and Bureau employees responsible for processing, reviewing, and/or responding to such correspondence.

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

Records in this system may contain (1) correspondence (including, without limitation, official letters, memoranda, faxes, telegrams, and e-mails) received and sent by the Bureau; (2) mailing lists of individuals who submit correspondence, or who have correspondence submitted on their behalf to the Bureau or request to receive correspondence from the Bureau; (3) identifying information regarding individuals who submit the correspondence, individuals or entities on whose behalf such correspondence is submitted, or individuals who request to receive correspondence from the Bureau, such as name, phone number, address, e-mail address, and any other disclosed identifiable information; (4) information about the correspondence, including disposition, tracking dates, and where applicable, the type of correspondence; and (5) information concerning the Bureau employee responsible for processing the correspondence, including contact information, position or title, and information about internal assignments. Supporting records may include correspondence between the Bureau and the individual. This system does not contain all correspondence received or sent by the Bureau – for example, records related to consumer complaints will not be contained in this system – and some correspondence is maintained in other Bureau systems of records.

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

Public Law No. 111-203, Title X, Sections 1011, 1012, 1013, codified at 12 U.S.C. 5491, 5492, 5493.

### **PURPOSE(S):**

The purpose of the Correspondence Tracking Database is to enable the Bureau to track correspondence, including responsibilities for processing, tracking, responding to,

or referring sensitive and/or time-critical correspondence for appropriate processing and responsive action, and to manage mailing lists of individuals who submit correspondence to the Bureau, have correspondence submitted on their behalf, or have requested to receive correspondence from the Bureau. The information will also be used for administrative purposes to ensure quality control, performance, and improving management processes.

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

These records may be disclosed, consistent with the Bureau's Disclosure of Records and Information Rules, promulgated at 12 CFR 1070 *et seq.*, to:

- (1) Appropriate agencies, entities, and persons when (a) the Bureau suspects or has confirmed that there has been a breach of the system of records; (b) the Bureau has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Bureau (including its information systems, programs, and operations), the Federal Government, or national security; and (c) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with the Bureau's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;
- (2) Another Federal agency or Federal entity, when the Bureau determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (a) responding to a suspected or confirmed breach or (b) 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.
- (3) Another federal or state agency to (a) permit a decision as to access, amendment or correction of records to be made in consultation with or by that agency, or (b) verify the identity of an individual or the accuracy of information submitted by an individual who has requested access to or amendment or correction of records;
- (4) The Office of the President in response to an inquiry from that office made at the request of the subject of a record or a third party on that person's behalf;
- (5) Congressional offices in response to an inquiry made at the request of the individual to whom the record pertains;
- (6) Contractors, agents, or other authorized individuals performing work on a contract, service, cooperative agreement, job, or other activity on behalf of the Bureau or Federal Government and who have a need to access the information in the performance of their duties or activities;
- (7) The DOJ for its use in providing legal advice to the Bureau or in representing the Bureau in a proceeding before a court, adjudicative body, or other administrative

body, where the use of such information by the DOJ is deemed by the Bureau to be relevant and necessary to the advice or proceeding, and such proceeding names as a party in interest:

- (a) The Bureau;
  - (b) Any employee of the Bureau in his or her official capacity;
  - (c) Any employee of the Bureau in his or her individual capacity where DOJ has agreed to represent the employee; or
  - (d) The United States, where the Bureau determines that litigation is likely to affect the Bureau or any of its components;
- (8) A grand jury pursuant either to a federal or state grand jury subpoena, or to a prosecution request that such record be released for the purpose of its introduction to a grand jury, where the subpoena or request has been specifically approved by a court. In those cases where the Federal Government is not a party to the proceeding, records may be disclosed if a subpoena has been signed by a judge;
  - (9) A court, magistrate, or administrative tribunal in the course of an administrative proceeding or judicial proceeding, including disclosures to opposing counsel or witnesses (including expert witnesses) in the course of discovery or other pre-hearing exchanges of information, litigation, or settlement negotiations, where relevant or potentially relevant to a proceeding, or in connection with criminal law proceedings;
  - (10) Appropriate agencies, entities, and persons, to the extent necessary to respond to or refer correspondence; and
  - (11) Appropriate federal, state, local, foreign, tribal, or self-regulatory organizations or agencies responsible for investigating, prosecuting, enforcing, implementing, issuing, or carrying out a statute, rule, regulation, order, policy, or license if the information may be relevant to a potential violation of civil or criminal law, rule, regulation, order, policy or license.

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

**STORAGE:**

Paper and electronic records.

**RETRIEVABILITY:**

Records are retrievable by a variety of fields including, but not limited to, an individual's name, email address or other contact information, by date of correspondence, topic of correspondence, correspondence control number or by some combination thereof.

**SAFEGUARDS:**

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

**RETENTION AND DISPOSAL:**

Per N1-587-12-06, records in this system are deleted or destroyed three (3) years after the calendar year in which it was created.

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

Bureau of Consumer Financial Protection, Chief Operating Officer, 1700 G Street NW, Washington, DC 20552.

**NOTIFICATION PROCEDURE:**

Individuals seeking notification and access to any record contained in this system of records, or seeking to contest its content, may inquire in writing in accordance with instructions appearing the Bureau's Disclosure of Records and Information Rules, promulgated at 12 CFR 1070 *et seq.* Address such requests to: Chief Privacy Officer, Bureau of Consumer Financial Protection, 1700 G Street NW, Washington, DC 20552.

**RECORD ACCESS PROCEDURES:**

See "Notification Procedures" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification Procedures" above.

**RECORD SOURCE CATEGORIES:**

Information contained in the system will be collected from a variety of sources, including, without limitation, individuals who submit correspondence, or who have correspondence submitted on their behalf to the Bureau, or who have requested to receive correspondence from the Bureau, and Bureau employees responsible for processing, reviewing, and/or responding to such correspondence.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.