



# Open Government Plan 3.0

Department of the Treasury

June 2014

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## **Introduction**

On January 21, 2009, President Obama issued the first executive memorandum of his Administration, entitled “Transparency and Open Government” (Open Government Memorandum). In his memorandum, the President established three guiding principles for the conduct of government activities: Government should be transparent, participatory, and collaborative. On December 8, 2009, the Office of Management and Budget (OMB) issued memorandum number M-10-06, “Open Government Directive,” providing guidance to federal agencies on specific actions they must take to increase transparency, participation, and collaboration in government.

In May 2010, Treasury published its first Open Government Plan that detailed the Department’s initial efforts to implement the Open Government Directive. In 2012, Treasury released Open Government Plan Versions 2.0 and 2.1, which further described Treasury’s efforts to implement the principles of open government in Department operations and activities. Treasury continues to embrace the three pillars of open government – transparency, participation, and collaboration – to help further the Department’s mission, vision, values, and goals. Treasury’s Open Government Plan Version 3.0 demonstrates this continuing commitment and describes past, ongoing, and future actions to achieve the objectives of the Open Government Memorandum.

## **Treasury’s Mission and Strategic Goals**

Treasury’s open government strategy is aligned with the Department’s mission and strategic plan.<sup>1</sup> Treasury’s mission is to (1) maintain a strong economy and create economic and job opportunities by promoting conditions that enable economic growth and stability at home and abroad; (2) strengthen national security by combating threats and protecting the integrity of the financial system; and (3) manage the U.S. government’s finances and resources effectively.

Treasury’s strategic goals are to (1) promote domestic economic growth and stability while continuing reforms of the financial system; (2) enhance U.S. competitiveness and job creation, and promote international financial stability and more balanced global growth; (3) fairly and effectively reform and modernize federal financial management, accounting, and tax systems; (4) safeguard the financial system and use financial measures to counter national security threats; and (5) create a 21<sup>st</sup> century approach to government by improving efficiency, effectiveness, and customer interaction. Department employees demonstrate the principles of open government on a daily basis in support of Treasury’s strategic goals.

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<sup>1</sup> See the Department of the Treasury’s [Strategic Plan for Fiscal Years 2014-2017](#).

## Treasury's Open Government Goals

### Goal 1: Increase transparency efforts.

- Increase agency accountability and responsiveness through transparency efforts;
- Improve public knowledge of the agency and its operations;
- Further the core mission of the agency;
- Create economic opportunity; and
- Respond to need and demand as identified through public requests.

### Goal 2: Expand participation.

- Promote opportunities for the public to participate throughout the decision-making process; and
- Create an interactive platform for the people who benefit from our assistance.

### Goal 3: Expand collaboration efforts.

- Improve technology and tools as enablers of knowledge generation, sharing, exchange, application and use; and
- Increase innovation as a source of new ideas, new solutions and approaches, and conversations about challenges being addressed.

## Department-wide Leadership and Established Governance Structure

The Deputy Assistant Secretary for Privacy, Transparency, and Records is Treasury's Senior Agency Official for the Open Government initiative. The Assistant Secretary for Management serves as the Senior Accountable Official for data quality.

## Treasury's Organizational Structure

Treasury is organized into the Departmental Offices (DO), seven operating bureaus, and three inspectors general. The Departmental Offices are primarily responsible for policy formulation, while the bureaus are primarily the operating units of the organization.

*The Departmental Offices (DO)* is composed of offices that are responsible for establishing policy and for overall management of Treasury. DO Offices include Domestic Finance, International Affairs, Terrorism and Financial Intelligence, Economic Policy, Tax Policy, The Treasurer of the United States, Management, General Counsel, Legislative Affairs, and Public Affairs.

*The Alcohol and Tobacco Tax and Trade Bureau (TTB)* collects federal excise taxes on alcohol, tobacco, firearms, and ammunition and is responsible for enforcing and administering laws covering the production, use, and distribution of alcohol and tobacco products.

*The Bureau of Engraving and Printing (BEP)* develops and produces U.S. currency notes that are trusted worldwide.

***The Financial Crimes Enforcement Network (FinCEN)*** safeguards the financial system from illicit use and combats money laundering and promotes national security through the collection, analysis, and dissemination of financial intelligence and strategic use of financial authorities.

***The Bureau of the Fiscal Service (Fiscal Service)*** – previously the Financial Management Service and the Bureau of the Public Debt – provides central payment services to federal program agencies, operates the U.S. government’s collections and deposit systems, provides government-wide accounting and reporting services, and manages the collection of delinquent debt owed to the U.S. government. In addition, the Fiscal Service borrows the money needed to operate the U.S. government through the sale of marketable, savings, and special-purpose U.S. Treasury securities, and accounts for and services the public debt.

***The Internal Revenue Service (IRS)*** is the largest of the Department’s bureaus and determines, assesses, and collects tax revenue in the United States.

***The United States Mint (U.S. Mint)*** designs, mints, and issues U.S. circulating and bullion coins, prepares and distributes numismatic coins and other items, and strikes Congressional Gold Medals and other medals of national significance. The Mint maintains physical custody and protection of most of the nation’s gold and all of its silver assets.

***The Office of the Comptroller of the Currency (OCC)*** charters, regulates, and supervises national banks and federal savings associations to ensure a safe, sound, and competitive banking system that supports the citizens, communities, and economy of the United States. The OCC also supervises federal branches and agencies of foreign banks. Effective July 21, 2011, Title III of the Dodd-Frank Wall Street Reform and Consumer Protection Act transferred to the OCC responsibility for the supervision of federal savings associations (thrifts) and rule-making authority for all savings associations.

***Inspectors General*** – Three inspectors general - the Office of the Inspector General, the Treasury Inspector General for Tax Administration, and the Special Inspector General for the Troubled Asset Relief Program, provide independent audits, investigations, and oversight of Treasury and its programs.



## **New and Expanded Initiatives**

In December 2013, the Obama Administration released the second “Open Government National Action Plan for the United States of America,” which included 23 new or expanded open-government commitments. Treasury’s Open Government Plan 3.0 describes actions taken by the Department to implement the new and expanded initiatives in the areas of open data, proactive disclosures, privacy, whistleblower protections, and websites.

### **A. Open Data Initiative**

The May 9, 2013 Open Data Memorandum<sup>2</sup> directed agencies to develop and maintain an “enterprise data inventory” of all data resources across the agency, and publish a “public data listing.”

Treasury is in the process of creating an Enterprise Data Inventory of all public and non-public data assets. Treasury has published a [list of inventory schedules](#) and has made a [Department-wide data inventory](#) publicly available in human and machine-readable formats. Treasury bureaus continue to review and update the data inventories. Available data sets include:

- Daily yield curve for Treasury bills and bonds
- U.S. debt auction schedule published by the Fiscal Service
- Annual currency production by denomination published by the Bureau of Engraving and Printing
- Total outstanding United States public debt
- List of specially designated nationals published by the Office of Foreign Assets Control

Treasury has broadcast the availability of new data sets and inventories via blogs on both external and internal websites. Treasury’s Office of Consumer Policy organized a public “finance datapalooza” and has taken the lead in creation of [consumer.data.gov](#) community. Consumer Policy also led the Finance Data Initiative, an effort to encourage the release of open data sets across the federal government to spur financial innovations and empower consumers to make informed choices. As part of the Finance Data Initiative, Treasury launched the Finance Data Directory, a one-stop shop for developers to discover finance data sets from over a dozen federal agencies.

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<sup>2</sup> See OMB [Memorandum M-13-13](#).

## B. Proactive Disclosures

Proactive disclosures are an integral part of Treasury's transparency policies. As described below, the Department routinely makes the following types of records and information available:

- The [Secretary of the Treasury's calendar](#) is proactively posted in the Freedom of Information Act (FOIA) Library on a quarterly basis.
- Treasury's [Press Center](#) provides public access to current and historical press releases, speeches, statements, testimony, and op-eds.
- Treasury actively utilizes Twitter, Facebook, Flickr, and YouTube to publicly disclose Department news, photographs, and videos. Treasury's social feeds can be accessed on Treasury's [social media page](#).
- Treasury proactively discloses contract award information through the [Federal Procurement Data System](#).
- Treasury's FOIA offices routinely make records and information available in advance of requests for such information. Treasury's [FOIA Library](#) contains links to each individual Treasury bureau's FOIA library.
- Treasury proactively posts [a list of payments](#) made under the 1603 program for Specified Renewable Energy Property in Lieu of Tax Credits.
- Treasury has made available dozens of data sets at [data.gov](#) including but not limited to the Treasury Reporting Rates of Exchange, the Monthly Statement of the Public Debt, the Financial Report of the United States Government, and the Daily Treasury Statement. A full list of available Treasury data sets is available at [treasury.gov/data](#).

Treasury proactively posts records and information concerning ongoing Department initiatives and current events in advance of requests for such information, for example:

- Treasury proactively posts correspondence, reports, statements, press releases, op-eds, and testimony concerning the [debt limit](#).
- Treasury routinely publicly discloses [information about meetings](#) with private sector individuals or entities and nongovernmental organizations for the purpose of discussing policy implementation of the Dodd-Frank Act.
- Treasury proactively discloses [meeting minutes](#) of the Financial Stability Oversight Council.

## C. Privacy and Civil Liberties

Pursuant to OMB guidance and other requirements, Treasury is required to prepare and publish various privacy compliance reports, including the Chief Privacy Officer Annual Report to Congress; the Senior Agency Official for Privacy reporting required under the Federal Information Security Management Act; the Federal Agency Data Mining Report; the Privacy and Civil Liberties Assessment required under Executive Order 13636; and the Biennial Computer Matching Activity Report. Treasury Privacy and Civil Liberties within the Office of Privacy, Transparency, and Records (OPTR) prepares the following reports:

<b>NAME OF REPORT</b>	<b>STATUTE/AUTHORITY REQUIRING REPORTING</b>	<b>DEADLINE(S)</b>	<b>REPORT RECIPIENTS</b>
Quarterly Report on Privacy and Civil Liberties Activities	Implementing the Recommendations of the 9/11 Commission Act of 2007, Section 803, 42 USC § 2000ee-3	December 31 March 31 June 30 September 30	Privacy and Civil Liberties Board; Chairman and Ranking Member, Senate Committee on Homeland Security and Governmental Affairs; Chairman and Ranking Member, Senate Committee on the Judiciary; Chairman and Ranking Member, House Committee on the Judiciary; Chairman and Ranking Member, House Committee on Oversight and Government Reform; Chairman and Vice Chairman, Senate Select Committee on Intelligence; Chairman and Ranking Member, House Permanent Select Committee on Intelligence
Senior Agency Official for Privacy FISMA Report	Federal Information Security Management Act of 2002	December 31	The Office of Management and Budget
Chief Privacy Officer Annual Report	Section 522 of the Consolidated Appropriations Act of 2005	Not Specified	Congress
Privacy and Civil Liberties Assessment	E.O. 13636 Sec 5(b) Improving Critical Infrastructure Cybersecurity	Reviewed and updated annually	The Department of Homeland Security
Biennial Privacy Act Report	OMB A-130, Appendix I	June 30	The Office of Management and Budget



Data Mining Report	Federal Agency Data Mining Reporting Act of 2007, Section 804 (Public Law 110-53)	January 30	Chairman and Ranking Member, Senate Committee on Homeland Security and Governmental Affairs; Chairman and Ranking Member, Senate Committee on the Judiciary; Chairman and Ranking Member, House Committee on the Judiciary; Chairman and Ranking Member, House Committee on Oversight and Government Reform; Chairman and Vice Chairman, Senate Select Committee on Intelligence; Chairman and Ranking Member, House Permanent Select Committee on Intelligence; Chairman and Ranking Member, Senate Subcommittee on the Constitution, Committee on the Judiciary; Chairman House Subcommittee on the Constitution, Committee on the Judiciary
Biennial Matching Activity Report	OMB A-130, Appendix I	June 30	The Office of Management and Budget
Annual Data Integrity Board Report	The Privacy Act, As amended, 5 U.S.C. 552a(u)(3)(D)	Not Specified	The Office of Management and Budget

Copies of Treasury’s privacy compliance reports are publicly available on Treasury’s [website](#).

## D. Whistleblower Protection

Consistent with the amendments to the Whistleblower Protection Act (WPA), Treasury has implemented a number of measures to strengthen whistleblower protections. These measures include:

- The posting of information on Treasury’s internal and external websites advising employees of their rights under the WPA, including the rights governing disclosures to Congress;
- Proactively updating the Department’s non-disclosure agreements through an addendum to the SF-312,<sup>3</sup> informing employees with security clearances that their right to lawfully disclose information to Congress is not superseded by the non-disclosure agreements, as required by the WPA amendments;
- Circulating the revised addendum to the SF-312 directly to all employees holding security clearances and mandating that the employee review, sign, and return the addendum to the Office of Security Programs;

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<sup>3</sup> The SF-312 is a non-disclosure agreement that restricts disclosure of classified information.

- Revising the Department’s security directive, consistent with the requirements of the recently issued Presidential Policy Directive 19 (PPD-19),<sup>4</sup> to provide for a fair and expeditious process for reviewing retaliation claims that relate to determinations of eligibility for access to classified information; and
- Designating an ombudsman within the Office of the Inspector General to further educate employees as to their rights under the WPA; and
- Providing notice and training for its employees of their rights and responsibilities under the WPA.

These actions reflect Treasury’s continued commitment to protecting employees’ rights to make lawful disclosures without fear of reprisal.

## E. Websites

As part of its Digital Government Strategy, Treasury has implemented the Google Analytics tool and ForeSee customer survey tool on most of the public facing department and bureau websites. The metrics collected by these tools are being used to improve the content of Treasury’s public-facing websites.

In addition, Treasury is working diligently to ensure its services and publications are available anytime, anywhere, on any device. The following mobile applications and open data services or Application Programming Interfaces (APIs) reflect Treasury’s ongoing commitment to align public-facing government services with 21st century expectations:

- Treasury is making its publications available in mobile formats. For example, the [2014-2017 Treasury Strategic Plan](#) and [Treasury 2015 Budget in Brief](#) are available in EPUB format and are accessible on most mobile devices and e-readers.
- In summer 2014, Treasury plans to unveil its new *Treasury Mobile Tour and History App*. Designed for smartphones and other small handheld devices, the app will give the public access to photographs and a detailed history of the Treasury building.
- *IRS2Go*, a free mobile app developed by IRS, provides users access to tax tips, news, and the relevant tools to help navigate taxes and the IRS. The app also allows individuals to check on the status of their return and request a transcript of their tax return. *IRS2GO* is currently supported on Apple and Android devices and is available in English and Spanish.
- *EyeNote*, a free mobile app developed by BEP, identifies denominations of United States currency as an aid for the blind or visually impaired and works with or without network connectivity or equipment modification. *EyeNote* is currently supported on most Apple devices and is available in English and Spanish.

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<sup>4</sup> PPD-19 was signed by the President on October 10, 2012 and, among other things, strengthens whistleblower protections for employees holding security clearances.

- OCC and TTB have optimized their public facing websites for customers using mobile devices.
- The Fiscal Service is developing mobile versions of three of its most popular applications: Auction Announcements and Results, Latest Debt to the Penny, and the Savings Bond Calculator.

## **Ongoing Initiatives**

As detailed below, Treasury continues work on open government initiatives identified in the Department's previous plans.

### **A. Participation in Transparency Initiatives**

Treasury continues to fully participate in government-wide transparency initiatives including [Data.gov](#), [eRulemaking](#), [IT Dashboard](#), [Recovery.gov](#), [Grants.gov](#), [CFDA.gov](#), [SAM.gov](#), [FSRS.gov](#), and [USAspending.gov](#). Below are some examples of how Treasury is contributing to these transparency initiatives.

#### **USAspending.gov**

As the federal government's financial manager, the Fiscal Service's objective is to provide reliable, timely, secure, and consumable financial management data for the purpose of promoting transparency, facilitating better decision making, and improving operational efficiency. The Fiscal Service plans to (1) implement tactical enhancements to improve the usability of USAspending.gov; (2) implement data validation techniques to improve the quality of the data displayed on USAspending.gov; (3) engage the user community and gather feedback from key stakeholder groups; and (4) enhance and expand financial management data available to the public.

#### **Transparency.Treasury.gov**

Treasury is committed to ensuring that the billions of financial transactions it processes on behalf of the Federal Government are carried out with the highest standards of performance, accountability, and transparency. [Transparency.Treasury.gov](#) allows users to analyze financial data trends, patterns, and gain insight about federal government payments, revenue, debt collection, and accounting data through interactive reports, dashboards, and visuals. The Fiscal Service plans to continue to expand the capabilities of the website and add additional functionality, reports, and data sources.

#### **Summary Debt Accounting Modernization**

The Summary Debt Accounting (SDA) Modernization initiative, led by the Fiscal Service, was created to ensure the accurate and appropriate collection, verification, standardization, and dissemination of all federal debt accounting information. The initiative, which began in October 2010 and ended in October 2013, has increased governance and transparency in the federal debt accounting environment. As a result of improvements under this initiative, the Fiscal Service has expanded debt reporting capabilities and the public has greater access to debt accounting information.

## **B. Public Notice**

Treasury utilizes a variety of resources to keep the public informed of significant actions and business of the Department.

Treasury actively utilizes Twitter, Facebook, Flickr, YouTube, and other social media to publicly disclose Department news, photographs, and videos. Treasury's social feeds can be accessed on Treasury's [social media page](#). Notice of public meetings, press conferences, and daily schedules are available in Treasury's [Press Center](#). Video and webcasts are available in Treasury's [Webcast Center](#).

## **C. Records Management**

Treasury continues work to comply with the records management requirements identified in the President's November 28, 2011 Memorandum on [Managing Government Records](#) and the accompanying August 24, 2012 [Managing Government Records Directive](#). In this regard, the Assistant Secretary for Management has been designated the senior agency official responsible for implementing the records management initiative.

Treasury OPTR maintains an internal records and information management website for Treasury employees. That website contains information, guidance, and training for Treasury employees on records management responsibilities. Treasury's Record Schedules are publicly available on National Archives and Records Administration's (NARA) [website](#).

In compliance with the Managing Government Records Directive, Treasury has developed and implemented five records management training courses, which are available to all Treasury employees via the Treasury Learning Management System (TLMS). The subjects covered in each of the training courses are based upon the National Archives and Records Administration's designated subject matter areas: (1) Employees and Contractors; (2) General Counsel; (3) Information Technology; (4) Senior Officials; and (5) Records Management staff. These training courses are being used to communicate records management policy and procedures across the Department and increase awareness of individual employees' responsibilities in ensuring compliance.

During April 2013, OPTR again hosted Records and Information Management Month (RIMM) at Treasury. During RIMM, Treasury records professionals provided training and outreach sessions to increase Treasury-wide employee understanding and awareness of the full information management life cycle, including records management, disclosure, and transparency. More than 400 Treasury and other Federal government employees participated in RIMM events during 2013.

Treasury will conduct a triennial assessment of Treasury bureau records management programs during the summer of 2014. The assessment will be used to identify gaps between practices and

generally accepted recordkeeping principles, assess risks based on identified gaps, determine whether additional information or analysis is necessary, develop priorities, and assign accountability for further program development.

### **Other Records and Information Management Initiatives**

In addition, Treasury OPTR is also leading an initiative to increase the conversion and proactive management of records to digital form. Maintaining records in accessible digital format reduces storage and management burden and makes the records more easily available, searchable, and available for proactive disclosure.

Treasury is also implementing the National Archives and Records Administration's (NARA) Capstone approach in accordance with NARA Bulletin 2011-03, "Guidance Concerning the use of E-mail Archiving Applications to Store E-mail" (Capstone approach). The Capstone approach will allow Treasury to standardize email management in compliance with NARA M-12-18, "Managing Government Records Directive." Full implementation of the Capstone approach is anticipated by December 31, 2016.

### **D. Freedom of Information Act (FOIA) Requests**

Treasury is committed to ensuring that the President's directive regarding the presumption of openness is applied to all FOIA decisions including increased proactive disclosures and discretionary releases consistent with the Department's legal responsibility to protect national security, personal privacy, privileged records, and other protected interests.

Treasury OPTR is leading an effort to improve DO FOIA performance. The FOIA Transformation initiative will consolidate DO FOIA processing, improve reporting capabilities to foster accountability, and update Department FOIA policies and procedures.

Treasury received 15,040 FOIA requests in Fiscal Year (FY) 2013. This figure represents a nine percent decrease from FY 2012 and continues a downward trend in recent years. Although the number of incoming requests continues to decline, Treasury is increasing its investment in FOIA resources. Currently, forty-seven Treasury employees work on FOIA issues on a full-time basis. These employees are assisted by numerous others who work on FOIA matters part-time. Treasury's FOIA staff for FY 2013 was the full-time equivalent of 138 employees. This represents an increase of 16% over FY 2012 staffing levels.

From FY 2009 through the present, Treasury received an average of 17,082 requests per fiscal year. Treasury closed 14,915 requests in FY 2013, or 93% of the number of requests received in FY 2013. TTB, FinCEN, IRS, OCC, and MINT all closed as many or more requests than they received.

As of April 30, 2014, Treasury has 569 "backlogged" FOIA requests. Department FOIA professionals are working diligently to reduce the FOIA backlog – efforts to date in FY 2014 have resulted in the closure of ten of the twenty oldest pending FOIA requests. Since the

beginning of FY 2014, Treasury FOIA professionals have reduced the overall inventory of pending FOIA requests by 13% and have closed 256 more requests than have been received.

## **E. Congressional Requests**

Treasury's [Office of Legislative Affairs](#) continues to serve as the principal contact and coordinator for all Department interaction with Congress and the Congressional relations offices in the White House and other Departments and agencies. Legislative Affairs develops strategies to implement initiatives that require legislation, communicates Treasury's positions to Congress, and keeps the Department informed of Congressional objectives, concerns, activities, and interests. In addition, Legislative Affairs responds directly to Congressional inquiries and facilitates replies from other offices in the Department, monitors the flow of Congressional correspondence to ensure accurate and prompt response, coordinates officials' testimony before Congressional Committees, and advises the Department on Congressional concerns during policy formation.

## **F. Declassification**

Treasury Order 105-19, "Delegation of Original Classification Authority; Requirements for Downgrading and Declassification," was updated in 2011 to reflect delegations of both original classification authority and downgrading and declassification authority. Treasury has completed significant declassification activities over the past several years, including allowing, with certain exceptions, classified information to be automatically declassified after 25 years. Declassification activities are ongoing. Treasury follows NARA's guidelines for declassification. More information is available at NARA's declassification [website](#).

## **G. Participation**

Treasury continues to promote opportunities for public participation in the Department's decision making processes. As described below, Treasury routinely seeks the public's feedback and input.

- Treasury routinely posts proposed and interim rules for public comment at [Regulations.gov](#).
- OCC attends meetings with the Mutual Savings Association Advisory Committee multiple times each year. The committee provides advice to the OCC about mutual savings associations. Official notices about the meetings are made through the Federal Register and more information is available on the OCC public [website](#).
- OCC attends meetings with the Minority Depository Institution Advisory Committee (MDIAC) several times per year. The committee provides advice to OCC on meeting the goals of Section 308 of the Financial Institutions Reform, Recovery, and Enforcement Act of 1989 and provides OCC with an assessment of the current condition of minority depository institutions, and what regulatory changes or other steps OCC should consider



to preserve such institutions. Official notices about the meetings are made through the Federal Register and more information is available on the OCC public [website](#).

- OCC Community Affairs conducts outreach and training in support of the OCC's mission by helping national banks and federal savings associations to be leaders in providing safe and sound community development financing and making financial services accessible to underserved communities and consumers. More information is available on the OCC public [website](#).

## **H. Collaboration**

Treasury collaborates with a range of partners and continues to expand its collaboration efforts as described in the initiatives below.

### **North American Tobacco Regulatory Network Technical Forum**

In 2012, TTB's Tobacco Laboratory organized and helped to establish the first annual North American Tobacco Regulatory Network Technical Forum, NATRLIN. The second forum was held on September 19, 2013 at the National Laboratory Center in Beltsville, MD. The discussions included tobacco related issues such as (1) current or emerging issues in Tobacco Regulation and Research; (2) challenges in Tobacco Regulation, Enforcement and Analysis; and (3) collaboration and alignment of Tobacco Laboratory Research Activities. The discussions also included regulatory and enforcement challenges of emerging products such as electronic cigarettes, shisha, herbal, and tobacco free products. Forty scientists and regulators representing 11 federal agencies from the United States, Canada, and Mexico participated in the second NATRLN forum. More information can also be found in [TTB's annual report](#).

### **Collaboration with the University Community - Student Employment Program**

Treasury is continuing to expand its collaboration efforts with colleges and university student employment programs. Treasury's [Student Employment Programs](#) provide an opportunity for students to gain professional experience and build leadership skills while contributing significantly to the Treasury mission.

### **Vendor Outreach Sessions**

Treasury's [Office of Small and Disadvantaged Business Utilization Programs](#) assists, counsels, and advises small businesses of all types (small businesses, small disadvantaged business, women-owned small businesses, veteran owned small businesses, service disabled veteran owned small businesses, and small businesses located in historically underutilized business zones) on procedures for contracting with Treasury and conducts monthly vendor outreach sessions.

### **FinCEN Resource Center**

In 2013, FinCEN established the FinCEN Resource Center (FRC) to serve as the call center for FinCEN, handling a wide variety of intake requests, information exchange mechanisms, and requests for information. The FRC assists FinCEN's stakeholders and the public, as financial institutions strive to comply with their responsibility to report certain information and suspicious activities to FinCEN. In an effort to enhance collaboration, FinCEN posts on its Web site direct links to useful information for addressing the most common and important questions that are

asked of the FRC. These “[Hot Topics](#)” are revised regularly to reflect the changing nature of questions regarding Bank Secrecy Act/anti-money laundering obligations. The FRC can be reached by calling 1-800-767-2825 or (703) 905-3591, or by emailing [FRC@fincen.gov](mailto:FRC@fincen.gov).

### **Enforcing Compliance in the Import and Export Trade**

During fiscal year 2013, TTB collaborated with the U.S. Customs and Border Protection (CBP) Office of Regulatory Audits (ORA) to ensure that taxes due on imported products are collected in a timely manner. TTB and CBP jointly developed and implemented new protocols for tax collections on TTB-regulated commodities to strengthen federal tax enforcement. The pilot effort resulted in the identification of \$6.3 million in previously uncollected federal excise taxes.

### **Manuscript on Tobacco Analysis Method Published in the International Tobacco Journal**

TTB continues to collaborate with international partners. In 2011, TTB’s Tobacco Laboratory initiated a project to develop a method for the analysis of humectants in tobacco products to support project characterization. A TTB Chemist, and a TTB intern and graduate student from the Department of Chemistry and Chemical Biology at Indiana University-Purdue University Indianapolis, designed the experimental parameters, prepared the technical manuscript, and submitted it to the tobacco industry journal. The manuscript entitled “Quantitative Analysis of Humectants in Tobacco Products using Gas Chromatography with Simultaneous Mass Spectrography and Flame Ionization Detectors” [was published](#) in the June 2013 edition of the *Beiträge zur Tabakforschung International / Contributions to Tobacco Research Journal*.

### **Trans-Pacific Partnership Agreement (TPP)**

TTB collaborated with the Office of the U.S. Trade Representative (USTR) in the negotiation of a free trade agreement to reduce barriers to trade in the regulation of wine and spirits by laying out acceptable procedure in the areas of labeling, identity standards, conformity assessments, compliance periods and acceptance of oenological practices. The countries in negotiations include Australia, Brunei, Canada, Chile, Japan, Malaysia, Mexico, New Zealand, Peru, Singapore, and Vietnam. President Obama and other TPP leaders had intended to conclude the negotiations by the end of calendar year 2013, but the negotiations are ongoing. The Administration is also seeking “trade promotion authority,” also known as “fast track negotiating authority” which allows the President to submit the TPP to Congress for an “up or down vote” without amendment or filibuster. The agreement ensures that a number of issues that have been raised in other countries will not adversely affect trade among TPP participant countries. The goal of the agreement is to facilitate U.S. exports of alcohol beverages to TPP participant countries. More information is available in [TTB’s 2013 annual report](#).

## **I. Flagship Initiative**

The Bureau of Engraving and Printing’s (BEP) Meaningful Access initiative embodies the three pillars of open government.

In May 2002, the American Council of the Blind (ACB) and two visually impaired individuals filed a complaint in the U.S. District Court for the District of Columbia alleging that the currency of the United States violates the rights of the blind and visually impaired because they could not denominate United States paper currency. In October 2008, the District Court ruled that the

Department of the Treasury must provide meaningful access to U.S. currency for blind and other visually impaired persons in the next currency redesign.

BEP commissioned a study to review and analyze the needs of the blind and visually impaired community, examine methods available at that time that could potentially improve access to Federal Reserve notes, perform a cost impact analysis of the possible accommodations on various government and industry sectors, and provide a decision model whereby the BEP could compare and contrast various accommodations. BEP published [the final study report](#) on its website in July 2009.

The study confirmed that there is no single solution that will enable all segments of the blind and visually impaired population to denominate U.S. currency with 100 percent accuracy. As such, BEP recommended three actions to the Secretary of the Treasury to provide meaningful access, which he approved on May 31, 2011. Those accommodations are:

- Pursuing inclusion of a raised tactile feature to each Federal Reserve note the BEP is permitted by law to alter.<sup>5</sup> This feature would provide users with a means of identifying each denomination via touch;
- Continuation of the process of adding large, high-contrast numerals and different colors to each denomination that the BEP is permitted by law to alter; and
- Distribution of currency readers to blind and visually impaired U.S. citizens and those legally residing in the United States that would allow users to denominate U.S. currency.

## **Transparency**

Throughout the development and implementation of this initiative, BEP has made significant efforts to be transparent and to provide the public access to information. BEP created a [webpage](#) for the initiative that contains up-to-date information about the status of the project. BEP has made information and reports about the initiative publicly available in advance of requests for such information.

## **Participation**

BEP commissioned [a comprehensive study](#) analyzing options for the blind and visually impaired community to denominate U.S. currency. Among other things, the study utilized focus group sessions, open forum discussions, and small group sessions which were conducted at the 2008 American Council for the Blind (ACB) and National Federation of the Blind (NFB) Annual Conventions to evaluate potential accommodations and seek feedback from the blind and visually impaired community. The sessions included participants from a wide range of demographic groups – gender, age, geographical regions, and vision impairment levels. On May 20, 2010, the Department of the Treasury and BEP issued a notice in the [Federal Register](#). The purpose of the notice was to provide notice and solicit public comment on the proposed accommodations. The public comment period closed on August 18, 2010. More than [64 comments](#) were received. On June 22, 2010, as part of the public comment process, BEP hosted two open public forums simultaneously in Washington, DC and Fort Worth, Texas.

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<sup>5</sup> Under current law, Treasury is not permitted to redesign the \$1 Federal Reserve note.

[Transcripts](#) from these two forums were made publicly available. Additionally, BEP has and will be participating in Stakeholder Organization Meetings and Conferences to discuss and answer questions about the initiative. BEP participated in the National Library Service National Conference in May 2014 and will participate in the National Federation for the Blind, American Council for the Blind, and the Blinded Veterans Association annual conferences in July and August 2014.

### **Collaboration**

BEP collaborated with the Department of Education in developing The IDEAL Currency Identifier, a free downloadable app to assist individuals who are blind or visually impaired to denominate U.S. currency on mobile devices. The app was created by IDEAL Group, IQ Engines, and the Wireless Rehabilitation Engineering Research Center (RERC) at the Georgia Institute of Technology through a grant from the Department of Education's National Institute on Disability and Rehabilitation Research (NIDRR), a component of the Office of Special Education and Rehabilitative Services. The app operates on the Android platform.

### **Conclusion**

The Department of the Treasury will continue to promote the principles of open government. In addition to building or modernizing information resources to maximize interoperability and information accessibility, Treasury will continue to develop, maintain, and supplement internal and external data inventories, enhance information safeguards, engage with internal and external customers and users, and clarify information management responsibilities.