



U.S. Department of the Treasury

Transition Briefing Materials

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Office of the Comptroller of the Currency
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The U.S. Mint

**Information Sheet and
Budget Overview**

CHECKLIST FOR ARRIVING APPOINTEES AND HELPFUL INFORMATION

CHECKLIST FOR ARRIVAL

☐ HUMAN RESOURCES

POC – Vernetta Wilkins, 622-1069

Human Resource is the point of contact for leave, retirement, insurance, health benefits, thrift savings plan, etc. An HR Contact will meet with each incoming appointee to review and sign HR benefit forms.

☐ ETHICS

POC – Bernie Knight, 622-1137

~~An incoming ethics briefing is required. The ethics attorney will brief you on financial disclosure paperwork such as the Standard Form 278 and the Hatch Act.~~

☐ BADGE

POC – United States Secret Service, 622-1112

The USSS will contact you after your arrival to schedule a time for a badge photo. The process to obtain a badge usually takes a week.

☐ EQUIPMENT

POC – Your Division's Administrative Contact

The Management Division will work with your Administrative Contact in obtaining equipment such as computers and desk phones, laptops, blackberries, cell phones, keys, parking permits, access badges, travel credit card, etc.

☐ SECURITY

POC – Larry Marlow, 622-1837

Appointees needing to acquire a security clearance need to contact Treasury's Special Security Officer.

☐ IT

POC – DO IT Service Desk, 622-1111

For all IT, computer or blackberry related issues, you can call the DO IT Service Desk at 622-1111 or email help.desk@do.treas.gov.

BUILDING SERVICES

POC – Building Services Help Desk, 622-1350

For all building services, such as moving, repairs, and framing, contact the Building Services Help Desk at 622-1350 or email FacilitiesServiceDesk@do.treas.gov.

HELPFUL INFORMATION

☐ ENTRY INTO MAIN TREASURY

Pennsylvania Avenue Entrance – 6:45 am – 6:30 pm (Monday – Friday)

Alexander Hamilton Place Entrance – 24-hour access for Treasury permanent badge holders

For additional information and entry locations, please visit the Treasury internet at <http://home.do.treas.gov/facilities/MTentrance.asp>

☐ GYM

The Treasury Gym is located in the basement of Main Treasury. Open 24 hours a day. Locker rooms with towel service are available. The woman's locker room is accessible only by key code. Please contact 622-2358 to receive the code.

☐ VAULT CAFETERIA

The Vault Cafeteria is located on the first floor of Main Treasury. Breakfast is served from 7:00am- 9:00am, lunch is served from 11:00am- 2:30pm, and the coffee shop is open until 4:00pm.

☐ TREASURY DINING ROOM

POC – Ador Carreon, 622-2065

The Treasury Dining Room is available for Deputy Assistant Secretaries and above including Bureau Heads and equivalent levels. Please contact the Treasury Dining Room for an application. The Treasury Dining Room is located on the 2nd floor of Main Treasury and serves breakfast and lunch from 8:00am - 2:00pm.

☐ MAIL ROOM

POC – Mail Room, 622-1650

Interoffice scheduled mail deliveries and pickups for Main Treasury are 9:00am, 11:30am, 1:30pm and 3:00pm daily. Outgoing mail for USPS is sorted and processed for pickup by 3:45pm daily. Special mail (red tagged items) is delivered to outside agencies etc. twice daily at 10:00am and 3:00pm with priority given to the Secretary, Deputy Secretary and Undersecretaries offices. For messenger services to outside agencies please contact Preston Dyson and Maurice Miller at 622-1650.

☐ **TREASURY DEPARTMENT FEDERAL CREDIT UNION**

POC – 1-800-344-4497

The Treasury Department Federal Credit Union is located in the Treasury Annex. For more information or to join you can visit www.tdfcu.org or call 1-800-344-4497.

☐ **BUSINESS CARDS**

POC – Barry Stevens, 622- 2123

Business cards may be ordered through the Treasury Department Recreation Association (TDRA). To order business cards visit <http://www.recgov.org/treasury>. TDRA also operates a store of Treasury Department logo items where members receive discounts. It is located in the basement level of Main Treasury.

☐ **PRINTING DIVISION**

POC – Printing Division, 622-1438

The Printing Division is located in the Treasury Annex, Room SB-12.

☐ **GRAPHICS DIVISION**

POC – Graphics Division, 622-2160

The Graphics Division has the ability to produce flyers, brochures, color copies or photographs. They are located in the Treasury Annex Room B-39.

☐ **PHOTOGRAPHIC SERVICES**

POC – Chris Taylor 622-2621

The Treasury photographer can assist with photographing events for the Secretary or Treasury Senior Staff. Please contact photographer Chris Taylor at 622-2621 or e-mail chris.taylor@do.treas.gov to schedule an appointment.

☐ **CLEARING VISITORS INTO MAIN TREASURY**

POC – USSS, 962-6720

Full name, date of birth and social security number are needed to clear a visitor into the building. The visitor's information is submitted via the Treasury intranet at <http://home.do.treas.gov/appointments/>. Only individuals with a permanent Treasury badge are allowed to clear in visitors.

☐ **PARKING/METRO CHECKS**

POC – Administrative Contact/Veris Bailey, 622-6333

Each office is allotted a specific number of parking spots. Contact your administrative contact to find out if you are eligible. Treasury employees may participate in the Metro Benefit Program. Contact Veris Baley for more information on the program.

☐ **SUPPLIES**

POC –Administrative Contact

To obtain office supplies, please contact your administrative contact.

☐ **DOCUMENTS & RECORDS**

POC – Office of Records Management, 622-0790

It is important (especially for appointees in senior leadership positions) to understand which documents and records can be taken with you upon departure. Contact Records Management for more information.

The Department of the Treasury
Department-wide Budget

| Dollars in Thousands Appropriated Accounts | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{2/} | |
|---|---------------------|-------------------|---------------------|-------------------|---------------------|-------------------|--|-------------------|
| | \$ | FTE ^{1/} | \$ | FTE ^{1/} | \$ | FTE ^{1/} | \$ | FTE ^{1/} |
| Departmental Offices - Salaries and Expenses | \$193,636 | 1,004 | \$216,348 | 1,055 | \$248,360 | 1,133 | \$273,895 | 1,200 |
| Executive Direction | 8,555 | 58 | 11,095 | 58 | 10,839 | 61 | 11,097 | 61 |
| General Counsel | 7,773 | 55 | 8,633 | 61 | 9,909 | 68 | 10,496 | 70 |
| Economic Policies and Programs | 31,691 | 222 | 38,393 | 232 | 44,242 | 244 | 45,854 | 247 |
| Financial Policies and Programs | 26,308 | 182 | 24,695 | 181 | 29,455 | 194 | 34,733 | 198 |
| Terrorism and Financial Intelligence | 39,540 | 233 | 47,540 | 264 | 56,775 | 308 | 61,714 | 342 |
| Treasury-wide Management and Programs ^{4/} | 16,675 | 94 | 16,748 | 99 | 18,505 | 99 | 19,193 | 100 |
| Administration Programs ^{5/} | 63,094 | 160 | 69,244 | 160 | 78,624 | 160 | 90,809 | 183 |
| Department-wide Systems and Capital Investment Program (DSCIP) | \$24,188 | 0 | \$30,268 | 0 | \$18,710 | 0 | \$26,975 | 0 |
| Financial Crimes Enforcement Network (FinCEN) | \$72,894 | 331 | \$73,216 | 326 | \$85,844 | 334 | \$91,335 | 343 |
| Alcohol & Tobacco Tax and Trade Bureau (TTB) | \$90,215 | 544 | \$90,618 | 544 | \$93,515 | 544 | \$96,900 | 525 |
| Office of Inspector General (OIG) | \$16,930 | 115 | \$16,957 | 111 | \$18,450 | 112 | \$19,356 | 115 |
| Treasury IG for Tax Administration (TIGTA) | \$131,953 | 850 | \$132,861 | 817 | \$140,633 | 835 | \$145,736 | 835 |
| Community Development Financial Institutions Fund (CDFI) | \$54,450 | 68 | \$54,506 | 68 | \$54,000 | 75 | \$58,620 | 75 |
| Internal Revenue Service (IRS) | \$10,573,706 | 95,386 | \$10,597,055 | 93,088 | \$10,892,384 | 91,123 | \$11,361,509 | 92,922 |
| Taxpayer Services | 2,142,042 | 32,050 | 2,138,238 | 31,557 | 2,150,000 | 31,218 | 2,150,000 | 30,792 |
| Enforcement | 4,708,441 | 49,534 | 4,686,477 | 48,307 | 4,780,000 | 47,349 | 5,117,267 | 49,792 |
| Operations Support | 3,461,205 | 13,468 | 3,544,835 | 12,890 | 3,680,059 | 12,181 | 3,866,172 | 11,989 |
| Health Insurance Tax Credit Administration (HITCA) | 20,008 | 17 | 14,836 | 17 | 15,235 | 17 | 15,406 | 16 |
| Business Systems Modernization (BSM) | 242,010 | 317 | 212,659 | 317 | 267,090 | 358 | 222,664 | 333 |
| Financial Management Service (FMS) | 233,861 | 1,818 | 235,381 | 1,761 | 234,423 | 1,692 | 239,344 | 1,500 |
| Bureau of Public Debt (BPD) ^{3/} | 178,154 | 1,390 | 178,854 | 1,390 | 182,871 | 1,371 | 187,054 | 1,371 |
| Currency Manipulation | 990 | 9 | \$0 | 0 | \$0 | 0 | \$0 | 0 |
| Treasury Building and Annex Repair and Restoration (TBARR) | \$9,900 | 9 | \$0 | 0 | \$0 | 0 | \$0 | 0 |
| Air Transportation Stabilization Board (ATSB) | 2,723 | 0 | \$0 | 0 | \$0 | 0 | \$0 | 0 |
| Total Treasury Appropriations | \$11,593,500 | 101,515 | \$11,626,074 | 99,160 | \$12,009,090 | 97,219 | \$12,470,724 | 98,886 |
| Non-appropriated Accounts ^{2/} | \$313,957 | 20 | \$270,000 | 20 | \$438,000 | 20 | \$356,000 | 20 |
| Treasury Forfeiture Fund (TEOAF) | 642,454 | 645 | 595,160 | 827 | 316,505 | 830 | 136,011 | 793 |
| Treasury Franchise Fund (TFF) | 1,506,017 | 1,927 | 1,814,208 | 1,944 | 2,175,326 | 2,071 | 2,125,816 | 2,065 |
| U.S. Mint | 506,000 | 2,109 | 556,000 | 2,109 | 531,000 | 2,200 | 559,500 | 2,150 |
| Bureau of Engraving and Printing (BEP) | 556,826 | 2,812 | 638,433 | 2,954 | 749,100 | 3,078 | 810,872 | 3,139 |
| Office of the Comptroller of the Currency (OCC) | 189,497 | 918 | 232,500 | 1,015 | 245,500 | 1,104 | 251,638 | 1,104 |
| Office of Thrift Supervision | \$3,724,751 | 8,512 | \$4,106,301 | 8,869 | \$4,455,431 | 9,303 | \$4,239,837 | 9,271 |
| Total Treasury Non-Appropriations | \$3,724,751 | 8,512 | \$4,106,301 | 8,869 | \$4,455,431 | 9,303 | \$4,239,837 | 9,271 |
| International Programs ^{4/} | \$1,245,885 | 0 | \$1,273,219 | 0 | \$1,277,289 | 0 | \$2,071,305 | 0 |
| Multilateral Development Banks | 64,350 | 0 | 64,350 | 0 | 20,235 | 0 | 29,000 | 0 |
| Debt Restructuring | 19,800 | 0 | 19,800 | 0 | 30,055 | 0 | 141,000 | 0 |
| Technical Assistance | \$1,330,035 | 0 | \$1,357,369 | 0 | \$1,327,579 | 0 | \$2,241,305 | 0 |
| Total Treasury International Programs | \$1,330,035 | 0 | \$1,357,369 | 0 | \$1,327,579 | 0 | \$2,241,305 | 0 |
| Total Treasury Budget | \$16,638,286 | 110,027 | \$17,089,744 | 108,029 | \$17,792,100 | 106,522 | \$18,951,866 | 108,157 |

- 1/ FTE amounts do not include reimburseables
2/ FY 2006 and FY 2007 Total Appropriated Resources includes \$3,000,000 in projected user fee collections. FY 2008 Total Appropriated Resources includes \$10,000,000 in projected user fee collections.
3/ Actuals in FY 2006, obligations in 2007, and estimates in FY 2008 and FY 2009.
4/ Provided in the State, Foreign Operations, and Other Related Programs Appropriation.
5/ President's Budget reflects FY 2008 TWM and ADMIN reorganization to create Privacy Offices and Procurement Services Division

Departmental Offices Budget

| Dollars in Thousands Departmental Offices Salaries and Expenses | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{2/} | |
|--|------------------|--------------|------------------|--------------|------------------|--------------|---|--------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| Executive Direction | 8,555 | 58 | 11,095 | 58 | 10,839 | 61 | 11,097 | 61 |
| Office of the Secretary/Deputy Secretary | 957 | 6 | 3,461 | 6 | 2,484 | 7.5 | 2,537 | 7.5 |
| Secretarial Delegation | 749 | 0 | 753 | 0 | 786 | 0 | 786 | 0 |
| Chief of Staff | 1,318 | 9 | 1,325 | 9 | 1,388 | 9 | 1,422 | 9 |
| Executive Secretary | 659 | 9 | 662 | 9 | 727 | 9 | 755 | 9 |
| Public Affairs | 2,972 | 18 | 2,986 | 18 | 3,212 | 18 | 3,274 | 18 |
| Legislative Affairs | 1,505 | 13 | 1,512 | 13 | 1,825 | 14.5 | 1,874 | 14.5 |
| Treasurer | 395 | 3 | 396 | 3 | 435 | 3 | 448 | 3 |
| General Counsel | 7,773 | 55 | 8,633 | 61 | 9,909 | 68 | 10,496 | 69.5 |
| Economic Policies and Programs | 31,691 | 222 | 38,393 | 232 | 44,242 | 244 | 45,854 | 247 |
| Economic Policy | 4,413 | 34 | 4,433 | 34 | 4,566 | 34 | 4,687 | 34 |
| International Affairs | 27,278 | 188 | 33,960 | 198 | 39,676 | 209.5 | 41,166 | 213 |
| Financial Policies and Programs | 26,308 | 182 | 24,695 | 181 | 29,455 | 194 | 34,733 | 198 |
| Tax Policy | 14,080 | 97 | 14,145 | 97 | 15,795 | 100 | 16,549 | 102 |
| US Domestic Finance | 12,228 | 85 | 10,550 | 84 | 13,670 | 94 | 18,184 | 95.5 |
| Terrorism & Financial Intelligence P&P | 39,540 | 233 | 47,540 | 264 | 56,775 | 307.5 | 61,714 | 341.5 |
| Treasury-Wide Management | 16,675 | 94 | 17,837 | 99 | 18,505 | 99 | 19,193 | 100 |
| Assistant Secretary for Management & CFO | 734 | 6 | 870 | 6 | 748 | 6 | 612 | 5 |
| Office of Emergency Preparedness | - | 0 | 962 | 5 | 1,585 | 5 | 1,613 | 5 |
| DAS HR/CHCO | 2,673 | 22 | 2,782 | 22 | 2,764 | 22 | 2,887 | 22 |
| DAS Information Systems/ CIO | 2,091 | 20 | 1,936 | 20 | 2,156 | 20 | 1,912 | 18 |
| Deputy Chief Financial Officer | 2,670 | 21 | 651 | 21 | 2,712 | 21 | 2,783 | 21 |
| Office of Procurement Executive | 669 | 4 | 2,794 | 4 | 670 | 4 | 692 | 4 |
| DAS Management & Budget | 2,715 | 21 | 2,719 | 21 | 2,755 | 21 | 2,824 | 21 |
| Privacy Office | - | 0 | - | 0 | - | 0 | 638 | 4 |
| Treasury-Wide Audits | 5,121 | 0 | 5,121 | 0 | 5,114 | 0 | 5,232 | 0 |
| Administrative Programs | 63,094 | 160 | 74,802 | 160 | 78,624 | 160 | 90,809 | 183 |
| DAS Headquarters Operations | 443 | 3 | 395 | 3 | 486 | 3 | 0 | 0 |
| Office of Information Technology | 20,309 | 15 | 22,502 | 15 | 25,700 | 15 | 28,000 | 15 |
| Office of Disclosure Services | 485 | 4 | 482 | 4 | 515 | 4 | 0 | 0 |
| Office of Financial Management | 3,893 | 33 | 3,882 | 33 | 4,148 | 33 | 3,242 | 25 |
| Procurement Services Division | - | 0 | - | 0 | - | 0 | 1,007 | 8 |
| Office of Human Resources | 2,444 | 17 | 2,539 | 17 | 2,598 | 17 | 2,703 | 17 |
| Office of Facilities and Support Services | 11,959 | 88 | 12,450 | 88 | 13,940 | 88 | 12,305 | 76 |
| Privacy Office | - | 0 | - | 0 | - | 0 | 3,197 | 18 |
| Secret Service Security Detail | 2,970 | 0 | 4,200 | 0 | 2,053 | 0 | 2,150 | 0 |
| DO-IT Modernization | 4,817 | 0 | 7,752 | 0 | 4,025 | 0 | 4,791 | 0 |
| Centralized Services, Space & Utilities | 15,774 | 0 | 17,634 | 0 | 7,178 | 0 | 16,124 | 0 |
| Centralized Services - Working Capital Fund ^{1/} | - | 0 | - | 0 | 18,000 | 0 | 12,200 | 0 |
| Command Center | 990 | 0 | - | 0 | - | 0 | 5,090 | 24 |
| Currency Manipulation | - | 0 | - | 0 | - | 0 | - | 0 |
| Total Salaries and Expense | \$194,625 | 1,004 | \$222,995 | 1,055 | \$248,360 | 1,133 | \$273,895 | 1,200 |
| Other Departmental Offices Appropriated Accounts | | | | | | | | |
| Department-wide Systems and Capital Investment Program | 24,168 | - | 30,268 | - | 18,710 | - | 26,975 | - |
| Treasury Building and Annex Repair and Restoration | 9,900 | 9 | - | - | - | - | - | - |
| Air Transportation Stabilization Board | 2,723 | - | - | - | - | - | - | - |
| Total Other DO Accounts | \$36,790 | 9 | \$30,268 | - | \$18,710 | - | \$26,975 | - |
| Working Capital Fund Plan | | | | | | | | |
| | 213,669 | 193 | 257,931 | 229 | 265,133 | 223 | 266,783 | 223 |

^{1/} Represents the Departmental Offices contribution to the Working Capital Fund
^{2/} President's Budget reflects FY 2006 TWM and ADMIN reorganization to create Privacy Offices and Procurement Services Division

Scheduling Office / Front Office

Overview:

The scheduling process is controlled by the Director of Scheduling and the Deputy Director of Scheduling. An Outlook Calendar is maintained by the Director of Scheduling for the Secretary's daily schedule. A Block Calendar is maintained by the Deputy Director. This schedule covers up to year in advance and notes all possible travel and large events. It is circulated to senior staff at the weekly Strategy Meeting.

A database known as TACT is used to track all incoming invitations to the Secretary. This program electronically records all information for each invitation through every step of the scheduling process. However, we made the decision not to put any social invitations in TACT due to the large number received. All social invitations are filed using a filing system based on the date of the request.

Immediate Hires:

Both the Director of Scheduling (who is also the executive assistant to the Secretary) and the Deputy Director of Scheduling are political appointees and will need to be filled immediately.

The Basic Scheduling Process:

- All incoming requests are sorted by the Correspondence Office.
- Request is logged into TACT by the Executive Secretariat Correspondence Unit (ESPU).
- A hard copy of the request with cover sheet is printed and given to the Deputy Scheduler
- The Deputy Scheduler works with the Director to determine which Policy Office should take the lead on the Recommendation.
- The Deputy Scheduler electronically tasks the chosen Policy Office to write the Recommendation (1-5 day turnaround).
- The Policy Office writes the Recommendation and works with ESPU to gain appropriate clearances.
- The Policy Office submits an electronic copy and a signed (by Principal) hard copy to ESPU.
- ESPU checks the recommendation for accuracy and forwards to the Deputy Scheduler.
- The Deputy Scheduler and Director of Scheduling meet with the COS on each Recommendation.
- A final decision is made for each invitation using the Recommendation as a guide.
- The Deputy Scheduler takes the determined action for each invitation (Accept, Decline, Offer Surrogate, Hold).
- All invitations are closed out in TACT once final action has taken place.

Office of Operations

Overview:

The Office of Operations, within the Office of the Chief of Staff, provides the Secretary and other senior officials with advance and operational support. The office plans and executes foreign and domestic travel, as well as all public events, for the Secretary and, at the direction of the Chief of Staff, the Deputy Secretary.

Immediate Hires:

Operations is comprised of five full-time staffers: a Director, an Associate Director, an Operations Coordinator, and two full-time Advance Representatives. The Office also maintains a 30 member corps of un-paid volunteers to provide supplemental staffing as needed.

Director of Operations: responsible for the management and staffing and is the primary point of contact with all outside agencies for all things related to the support of secretarial events and travel, including the use of military aircraft.

Associate Director of Operations: responsible for advance team staffing and trip administration including both full-time and volunteer advance representatives

Operations Coordinator: responsible for the collection and dissemination of logistical information for Secretarial travel and events and manages the trip schedule.

Advance Representative: responsible for implementing logistics on foreign and domestic visits by working with host entities, including foreign officials, and the United States Secret Service.

Critical Issues:

Trip/Event Planning:

There are generally four types of trip/event each with a baseline level of support. Domestic – National Capital Region “In-Towners”; Domestic – Non National Capital Region; Foreign; and Summits (Hosted by Treasury)

Support Requirements:

Domestic trips require anywhere from one to three advance representatives. Audio-visual support may be required and will be handled by Treasury Conference Services. Staff offices will be provided on overnight trips only.

Foreign trips require up to three Advance Representatives five to seven working days prior to the visit. Audio-visual support is contracted through the United States embassy in the country where the visit is to occur. IT Travel Support will establish a staff office consisting of a copier,

computers with high-speed internet connections and links to the Treasury network, a fax machine, and office supplies will be available. A secure telephone for the Secretary (usually in the Secretary's room) and plan for any secure communications contingencies will be provided as well as cellular communications for staff (when needed).

Funding:

For domestic trips and hosted events, including those hosted by Bureaus, the host is responsible for all costs associated with the Secretary's participation. ~~Other event costs are processed~~ through Conference, Events, and Meeting Services or Public Affairs. Travel (transportation, per diem and hotel) costs are covered by executive direction funding.

All foreign trips are funded through the executive direction budget via the use of a fund site. However, all contracting must be done through the United States embassy in the country that the Secretary is visiting.

Military Aircraft:

For trips outside of the United States, the Secretary is granted the use of aircraft operated by the 89th Airlift Wing stationed at Andrews Air Force Base by the White House. In October 2006, the White House Chief of Staff directed the White House Deputy Chief of Staff for Operations to provide the Secretary with non-reimbursable military air support. **This agreement will need to be renewed in the next administration.**

All trips are approved as non-reimbursable for Treasury officials. Guests and non-US government travelers must reimburse the Treasury Department for travel aboard military aircraft at a rate determined by the Department of Defense, including any member of the press corps accompanying the Department on a trip.

The Executive Secretariat

OVERVIEW:

The Executive Secretariat ("ExecSec") coordinates department-wide review and analysis of policy initiatives, regulations, testimony, correspondence, memoranda, reports and briefing materials for the Secretary and Deputy Secretary. ExecSec is also responsible for the conveyance of papers and communications between other Executive Secretary Offices in the federal government. The Process and Correspondence Units operate under detailed SOPs.

ORGANIZATION:

Executive Secretary: Ensures that the Secretary, the Deputy Secretary, and Chief of Staff receive all necessary information in a timely manner and that all paper materials are consistently high quality and accurate and that they reflect the Secretary and Deputy Secretary's policy objectives while fully utilizing the policy expertise within the Department's offices and bureaus. In addition, the Executive Secretary promulgates rules and regulations.

ExecSec is divided into three sections each reporting to the Executive Secretary.

Deputy Executive Secretaries: Consists of two Deputy Executive Secretaries (DES). Each DES provides policy advice and guidance to key staff, and reviews, analyzes and evaluates materials drafted for the Secretary and Deputy Secretary within an assigned portfolio and after close consultation with the Executive Secretary and Chief of Staff.

Executive Secretariat Process Unit (ESPU): Consists of three Special Assistants. ESPU manages the preparation and delivery of all briefing and action memoranda required by the Secretary and Deputy Secretary by tasking and reviewing all documents, and compiling and delivering daily, trip and Congressional hearing briefing books.

Executive Secretariat Correspondence Unit ("Correspondence"): Consists of five administrative specialists working under an Office Director. Correspondence maintains the central files (both physical and electronic) for the Secretary, Deputy Secretary and the Executive Secretariat. Correspondence processes all incoming mail/correspondence for the Secretary and Deputy Secretary and, as required, coordinates for the timely response from the appropriate Treasury office.

Legislation and Legislative Review ("LLR"): Consists of one Special Assistant. LLR coordinates with OMB for interagency review of all Treasury-drafted materials transmitted to Congress. LLR also coordinates Treasury clearance of similar materials from other agencies.

DAILY OPERATIONS:

- ExecSec meets as a team twice daily (usually 8:00 a.m. and 3:00 p.m.) to review correspondence, coordinate the daily briefing requirements, and discuss key policy and process issues. Following the morning meeting, ESPU sends a "Daily Briefing List" email to key personnel that outlines the materials due that day and in the upcoming week.

- The Deputy Executive Secretaries routinely attend interagency, intra-departmental, and inter-bureau meetings and conferences as an observer and spokesperson for the Secretary or Deputy Secretary and to communicate Treasury policies on pertinent issues.
- ESPU's additional functions include: managing Congressional reporting, the TIRE process and the information flow with the National Security Council; coordinating "global" emails; tracking overdue Congressional and VIP correspondence; and processing scheduling requests, the CFIUS and White House Weekly Updates, awards, and MILAIR requests.
- The Correspondence Unit's additional functions include: managing the telephone comment line, processing FOIA requests and Eagle Scout letters, distributing NSC documents, and managing WH correspondence.
- A member of ExecSec is always on-call to perform ExecSec functions that are required after normal work hours or during weekends and holidays.

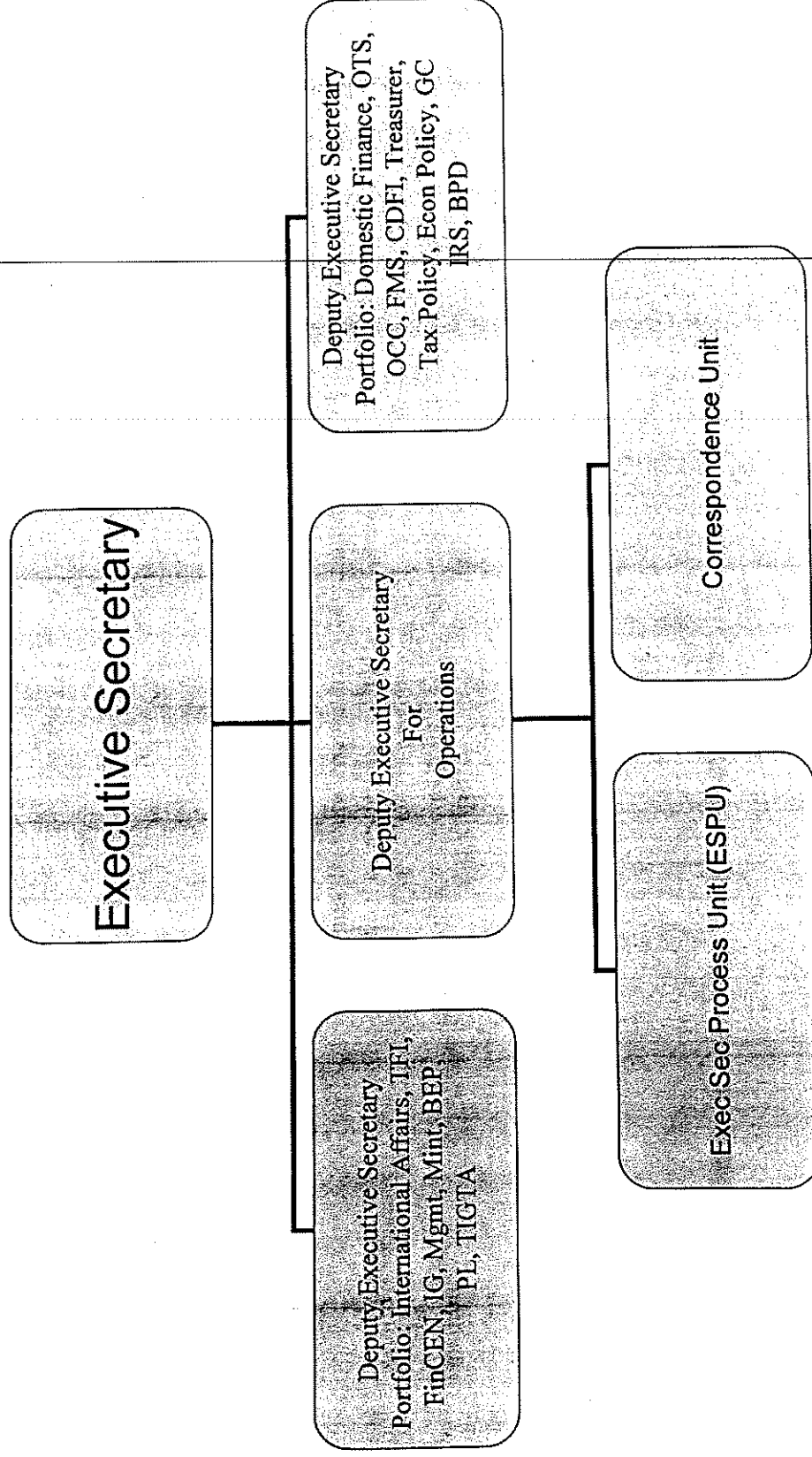
PERSONNEL & IMMEDIATE HIRES:

Deputy Executive Secretaries: The DES for International Affairs, TFI and Management is a career employee. The second DES spot is vacant and has traditionally been filled with a political appointee. The portfolio focuses on Domestic Finance and Economic and Tax Policy.

ESPU: ESPU is comprised of two Presidential Management Fellows (PMFs) and one detailee here from FMS through April. One PMF is scheduled to leave ExecSec in the spring. The other is a PMF on rotation from IRS through April. The detailee from FMS is covering the vacant third Special Assistant position which has traditionally been filled with a political appointee.

Correspondence: The Office Director is retiring on January 3. Hiring a well-experienced replacement with *strong leadership* abilities should be a top priority. The Correspondence Unit is comprised of all career employees.

Office of the Executive Secretariat



Executive Direction - Office of the Secretary

| Dollars in Thousands Executive Direction | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{1/} | |
|---|----------------|-----------|----------------|-----------|----------------|-----------|---|-----------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| Office of the Secretary/Deputy Secretary | 957 | 6 | 3,461 | 6 | 2,484 | 7.5 | 2,537 | 7.5 |
| Secretarial Delegation | 749 | 0 | 753 | 0 | 768 | 0 | 786 | 0 |
| Chief of Staff | 1,318 | 9 | 1,325 | 9 | 1,388 | 9 | 1,422 | 9 |
| Executive Secretary | 659 | 9 | 662 | 9 | 727 | 9 | 755 | 9 |
| Total | \$3,683 | 24 | \$6,201 | 24 | \$5,368 | 26 | \$5,501 | 26 |

1/ FY 2009 President's Budget does not represent approved FY 2009 operating levels

Office of Domestic Finance

Overview:

The Office of Domestic Finance advises and assists the Secretary and Deputy Secretary on the domestic financial system, fiscal policy and operations, governmental assets and liabilities and related economic and financial matters.

Immediate Hires:

The Office of Domestic finance is currently comprised of about 120 employees; of which 13 are political appointments. There is an immediate need to bring on the following political and career hires:

- Under Secretary for Domestic Finance
 - Senior Advisor to the Under Secretary
- AS for Financial Stability
 - Senior Advisor
 - Chief Operating Officer (career)
 - Chief Investment Officer (career)
 - Chief Risk Officer (career)
 - Chief Financial Officer (career)
 - Chief Compliance Officer (career)
 - Chief Homeownership Preservation Officer (career)
- AS for Financial Institutions
 - Senior Advisor
 - DAS Financial Institutions Policy
 - DAS Critical Infrastructure Protection and Compliance Policy
 - DAS Financial Education
- AS for Financial Markets
 - Senior Advisor
 - DAS Federal Finance
 - DAS Government Financial Policy

Critical Issues:

Temporary Guarantee Program for Money Market Funds

Under the Temporary Guarantee Program for Money Market Funds, the Department of the Treasury guarantees to investors that they will receive \$1 for each money market fund share held as of close of business on September 19, 2008. Eligible funds must be regulated under, and in compliance with, Rule 2a-7 of the Investment Company Act of 1940, maintain a stable share price of \$1, and be publicly offered and registered with the Securities and Exchange Commission. Both taxable and non-taxable funds are eligible for this program. To participate in the program, eligible funds must pay a fee and complete the Guarantee Agreement and corresponding documents found on this page. As the program covers all shareholders in a participating eligible fund as of close of business on September 19, 2008, individual investors cannot sign-up for the program. The President approved the use of existing Treasury authorities

to make available as necessary the assets of the Exchange Stabilization Fund to support the Program.

Action: Program Expiration Decision Date December 18, 2008: The program is in effect for an initial three-month term which ends on December 18, 2008. Prior to that date, the Secretary of the Treasury will review the need for and the terms of, the program as well as the costs to provide the coverage. If the Secretary chooses not to extend the program at the end of the initial three month period, by December 18, 2008, the program will automatically terminate. The Secretary has the option to extend the program up to the close of business on September 18, 2009. If the program is extended, funds would have to renew their participation in the program after each extension in order to maintain coverage.

Blueprint for a Modernized Regulatory Structure

Treasury recently completed a review of the financial regulatory structure resulting in a regulatory blueprint. The review focused on all types of financial institutions: insured depository institutions (commercial banks, thrifts, etc.), insurance companies, securities firms, futures firms, and other types of financial intermediaries. The goal was to evaluate the regulatory structure and consider ways to improve efficiency, reduce overlap, strengthen consumer and investor protection, and ensure that financial institutions have the ability to keep pace with evolving markets.

Action: None

Government Sponsored Enterprises

In September 2008, Treasury worked with the Federal Housing Finance Agency (FHFA) and the Federal Reserve to take steps to stabilize Fannie Mae and Freddie Mac. Actions from this work, included FHFA placing the enterprises into conservatorship. Treasury, and FHFA acting as conservator, entered into a Preferred Stock Purchase Agreement for each entity placed in conservatorship. Under these agreements, Treasury will ensure that each company maintains a positive net worth. Treasury also established a new secured lending credit facility which will be available to Fannie Mae, Freddie Mac, and the Federal Home Loan Banks. Finally, Treasury initiated a temporary program to purchase GSE MBS.

Action: The appropriate level of Federal involvement in the mortgage market, including the future structure of the GSEs, will likely be raised during the next Congress.

The President's Working Group on Financial Markets

The PWG is comprised of the Secretary of the Treasury, who chairs the group, and the Chairmen of the Federal Reserve Board, SEC, and CFTC; although others, such as FRBNY, OCC, FDIC, and FHFA have been included as invited guests in meetings of the group more recently. Its goals are "enhancing the integrity, efficiency, orderliness, and competitiveness of our Nation's financial markets and maintaining investor confidence." A new Executive Order to expand the PWG's mission and membership has been drafted and is being reviewed by OMB. The PWG has issued several reports over the years, on the topics of the 1987 stock market crash; hedge funds and leverage; over-the counter derivatives; retail swaps; mortgage-backed securities; terrorism risk insurance; private pools of capital; and the recent market turmoil. Member agencies of the PWG also have been asked to submit opinion letters to and testify before Congress, particularly on energy issues.

Actions:

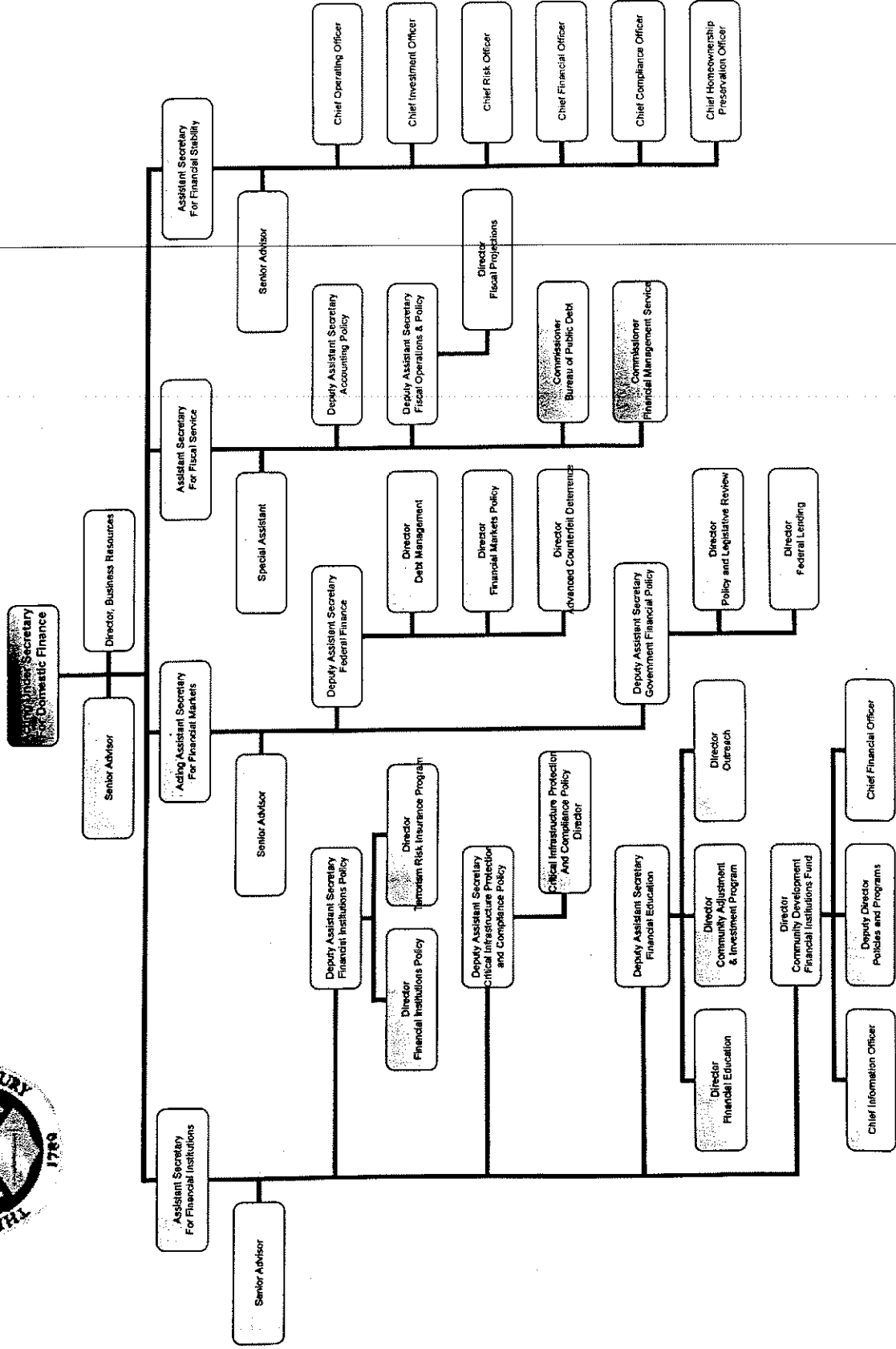
Meetings: The PWG meets regularly (currently about every 6 weeks) and as needed.

Recent Market Statement: The PWG released a statement and an update on the recent market turmoil, and continues to monitor implementation of its recommendations, including three private-sector committees (disclosure; credit ratings; and risk management) that are developing implementation plans.

Private Pools of Capital: The PWG released a statement on private pools of capital and ~~facilitated two private-sector committees (asset managers and investors) that developed~~
voluntary industry best practices.



Office of Domestic Finance



Economic Policies and Programs - Economic Policy

| Dollars in Thousands | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{1/} | |
|---------------------------------|----------|-----|----------|-----|----------|-----|--|------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| Financial Policies and Programs | | | | | | | | |
| US Domestic Finance | 12,228 | 85 | 10,550 | 84 | 13,670 | 94 | 18,184 | 95.5 |
| Total | \$12,228 | 85 | \$10,550 | 84 | \$13,670 | 94 | \$18,184 | 96 |

1/ FY 2009 President's Budget does not represent approved FY 2009 operating levels

Office of Financial Stability

Overview:

The Office of the Financial Stability (OFS) was established under the Emergency Economic Stabilization Act of 2008 (EESA) within the Office of Domestic Finance of the U.S. Department of the Treasury (Treasury) to implement the Troubled Asset Relief Program (TARP). The OFS is headed by the Assistant Secretary for Financial Stability and reports to the Under Secretary for Domestic Finance.

Financial Stability Oversight Board

The Financial Stability Oversight Board (FSOB) was created to review the policies implemented by the Secretary and the OFS. Accordingly, the Office of the Assistant Secretary prepares reports for the FSOB, and the Assistant Secretary participates in the FSOB meetings. The Office of the Assistant Secretary liaisons with the members of the FSOB, which, in addition to the Treasury Secretary, comprise the Federal Reserve Board System, the Federal Housing Finance Agency, the Securities and Exchange Commission, and the Department of Housing and Urban Development. The Chairman of the Federal Reserve Board serves as the chairman of the FSOB.

Capital Purchase Program Office

The Capital Purchase Program (CPP) Office, part of the Office of the CIO, is responsible for all aspects of (1) program application analysis and processing, (2) equity investment documentation, execution and closing, and (3) equity portfolio management pursuant to the terms of the EESA. The CPP Office receives applications from four principal Federal bank regulators (as well as direct submissions from parties which do not have a federal regulator) and prepares analysis for Treasury's TARP Investment Committee. The CPP Office works directly with financial agents such as a document custodian, legal counsel and equity asset managers in execution and management of the CPP.

Investment Committee

The TARP Investment Committee is responsible for reviewing all applications for the CPP received from Federal banking agencies or from other non-federally regulated entities.

Immediate Hires:

The Assistant Secretary for Financial Stability

The Assistant Secretary provides advice to the Secretary, Deputy Secretary, Under Secretary and other senior Departmental officials on policies related to financial stability and the operation of the TARP. The Assistant Secretary heads the OFS and is appointed by the President and confirmed by the Senate. All OFS staff report to the Assistant Secretary, who is responsible for

executing the Treasury Department's TARP programs and strategies in coordination with other Departmental Offices.

The Assistant Secretary further exercises this authority in consultation with the Board of Governors of the Federal Reserve System, the Federal Deposit Insurance Corporation, the Comptroller of the Currency, the Chairman of the National Credit Union Administration Board, the Director of the Office of Thrift Supervision, and the Secretary of Housing and Urban Development.

Chief Operating Officer

The Chief Operating Officer (COO) works in conjunction with the Assistant Secretary to develop the infrastructure to support the TARP Program and administer its operations. The COO facilitates communication among the TARP units and between the TARP's policy and investment resources and operating divisions. The COO manages the TARP budget in conjunction with the Chief Financial Officer (CFO) and works closely with Treasury's administrative resource unit to ensure that the TARP can operate efficiently and effectively.

Chief Investment Officer

The Chief Investment Office (CIO) is responsible for the approval and asset management of all investments made pursuant to the TARP. Investments can be made either by purchasing or insuring "troubled assets" (as defined in EESA). To date, the CIO has made direct investments in the form of preferred equity and warrants in qualified financial institutions pursuant to the Capital Purchase Program (CPP). Purchases of portfolios of mortgage-backed securities, other asset-backed securities, whole loans or other "troubled assets" may occur either directly or through investment vehicles.

The CIO will manage all assets it acquires or insures through contracted asset managers and a custodian. The CIO also manages a contract with an investment advisor who provides guidance on the selection of asset managers.

Chief Risk Officer

The Office of the Chief Risk Officer (CRO) is responsible for identifying the most significant risks that the TARP faces. These risks include operational risk, credit risk, market risk, and reputational risk.

The CRO will assess those risks (either quantitatively or qualitatively) and work to ensure that this assessment is integrated into the decision making processes of each business line of the TARP and that risks are managed in a consistent fashion across business lines. The CRO will oversee the development of risk metrics and mechanisms to enable the evaluation and reporting of the risks associated with each business line and the aggregate risks to the TARP portfolio. The CRO will track the evolution of these risks over time.

Chief of Homeownership Preservation

The Office of the Chief of Homeownership Preservation was established with the aim of identifying opportunities to help homeowners protect their homes, while also protecting taxpayers. The key policy goals of the Office are to reduce the number of principal residences lost to foreclosure and to stabilize the value of homeownership in surrounding communities through policies which impact homeowners, home mortgage loans, lenders, servicers and their communities.

The priorities of the Office are:

- To work closely with key organizations on strategies to adopt and implement a comprehensive and aggressive loss mitigation program.
- To develop and implement a robust outreach program targeted to at-risk homeowners. This will require Treasury to work with key organizations to develop additional communications strategies for reaching borrowers who are most in need of assistance.
- To outline and implement strategies to regularly update the Administration, Congress, the public, and other key stakeholders, on results.
- To monitor, analyze and report on the results of the loan modification program.

Chief Compliance Officer

The Office of the Chief Compliance Officer (CCO) is responsible for developing and implementing, in conjunction with the relevant program offices, processes and procedures to provide for overall program compliance with the EESA. These include the executive compensation, statutory reporting and conflict of interest requirements. In addition, the Office serves as liaison to the external oversight entities including the GAO, Special IG, FSOB and the Congressional Oversight Panel. The Office will also be the point of contact within the OFS for other Treasury-wide compliance activities.

Chief Financial Officer

The Office of the Chief Financial Officer (CFO) acts as the liaison between the OFS and Treasury for budget, financial systems, accounting, and reporting support. The CFO also serves as the liaison to the Custodian, who provides the subsidiary ledger to the Treasury maintained general ledger for all financial data including funding of Custodian, movement of funds by the Custodian, and receipt of funds. The CFO also manages cash flow requirements, A-123 internal controls, and administrative support activities for all of OFS. The Office serves as liaison with staff of the Government Accountability Office (GAO) for financial statement reporting.

Chief Counsel

The TARP Chief Counsel provides legal and policy advice to the OFS on the execution of the EESA and the implementation of the TARP. The Chief Counsel reports to the Assistant General Counsel (Banking and Finance) in Treasury's Legal Division

Critical Issues:

Capital Purchase Program

On October 14, 2008, Treasury announced the program description for the CPP under the TARP and made available \$250 billion of purchase authority for the CPP. The purpose of the CPP is to stabilize the U.S. banking industry by encouraging U.S. financial institutions to build their capital base. Treasury believes that stabilizing the banking industry will increase the capacity of banks to lend to U.S. businesses and consumers and to support the U.S. economy. Under the voluntary CPP, Treasury will purchase up to \$250 billion of senior preferred shares on standardized terms. The CPP is available to qualifying U.S. controlled banks, savings associations and certain bank and savings and loan holding companies engaged solely or predominately in financial activities permitted under the relevant law.

On October 20, 2008, Treasury announced a streamlined, systematic process for all publicly organized financial institutions wishing to access the CPP. The next step in the CPP will be to post an application form and term sheet for privately held eligible institutions and establish a reasonable deadline for private institutions to apply.

Treasury has worked with the Federal banking agencies to establish streamlined evaluations; this means that all Federal banking agencies will use a standardized process to review all applications to ensure consistency. Once a regulator has reviewed an application, it will send the application along with its recommendation to the OFS. Upon receipt of the application and recommendation from the Federal banking agency, the TARP Investment Committee will review it and decide whether or not to make the capital purchase. Treasury welcomes the expertise of the Federal banking agencies, and will give considerable weight to their recommendations. Consistent with the provisions of EESA, all transactions will be publicly announced within 48 hours of completion. Treasury will not, however, announce any applications that are withdrawn or denied.

Insurance Guarantee Program

Consistent with the EESA, Treasury will establish a troubled assets guarantee program for troubled assets purchased under the TARP.

Additional TARP Programs

Treasury has policy teams examining several different areas that show promise to help strengthen our financial markets, particularly homeownership preservation. Programs will be designed to include requirements on executive compensation and warrants as appropriate and to ensure compliance with other statutory provisions. Treasury will take additional steps to restore

financial market stability in a clear and efficient manner while ensuring that the taxpayer is properly protected.

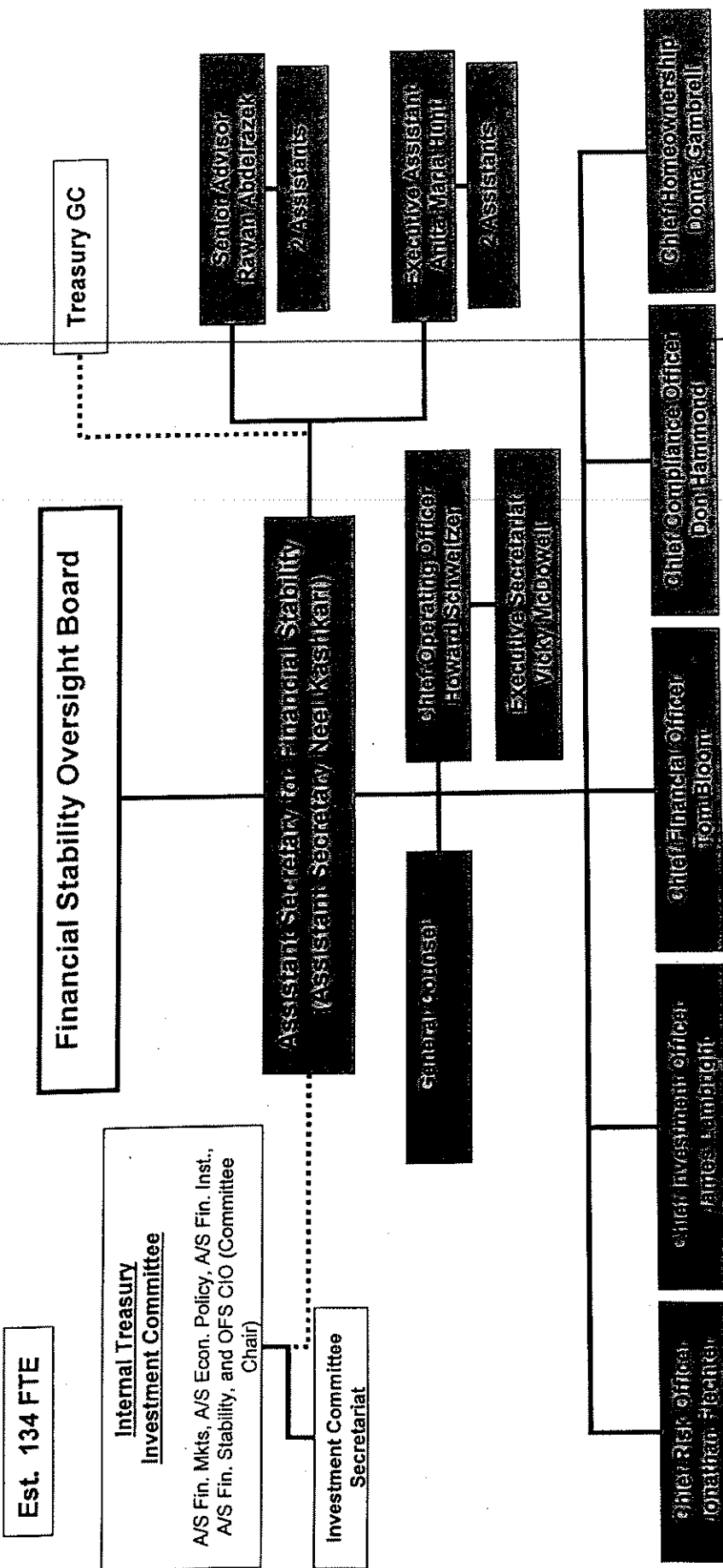
Executive Compensation

Section 111 of EESA provides that financial institutions that sell assets to the Treasury are subject to specified executive compensation standards. Under EESA, different standards apply depending on whether the Treasury purchases assets pursuant to an auction/market purchase or a direct purchase. The Treasury has issued guidance, developed by the Office of Tax Policy and the Office of Domestic Finance, on these executive compensation standards as they apply for particular EESA programs: Interim final regulations provide guidance for participants in the Capital Purchase Program; Notice 2008-PSSF1 provides guidance for direct purchases for systemically significant failing institutions; Notice 2008-TAAP and IRS Notice 2008-94 provide guidance for financial institutions participating in auction purchases. Further guidance may be required for any new programs or as the need otherwise arises

Program Reports

Under the EESA, Treasury is required to submit a *Tranche Report to Congress* (Report) and submitted that Report to Congress on November 4. The Report is the first report under section 105(b) of the EESA and is intended to meet the requirements for reporting at the \$50 billion and \$100 billion commitment levels, because Treasury has made transactions of approximately \$125 billion under EESA. Treasury will submit the next report when transactions to purchase troubled assets reach the \$150 billion level

Organization Chart for TARP



Office of Economic Policy

Overview:

The Office of Economic Policy (OEP) provides information and analysis for the Secretary and other key policy-makers within Treasury and other parts of the government about economic conditions, the economic impacts of current and proposed economic and regulatory policies, and possible alternative policies that better achieve the desired objectives.

Personnel:

The Office of Economic Policy is divided into two sub-offices: the Office of Microeconomic Analysis and the Office of Macroeconomic Analysis. The career staff of the Office of Economic Policy includes two office directors – one each for microeconomic analysis and macroeconomic analysis – a staff of 18 economists, and four administrative assistants.

Immediate Hires

In addition to the Assistant Secretary, the Office of Economic Policy includes 4 political appointees: three Deputy Assistant Secretaries (DAS) – one each covering microeconomic analysis, macroeconomic analysis, and policy coordination – and a Senior Advisor. The Micro and Macro Deputy Assistant Secretaries work closely with the office directors of their respective offices to direct staff efforts to support the Assistant Secretary. The DAS for Policy Coordination works on topical issues. The Senior Advisor works directly with the Assistant Secretary and typically serves as the point of contact for the political staff in other offices within the building.

Office of Microeconomic Analysis:

Office Director: John Worth

Topics:

- Pension Benefit Guarantee Corporation– joint with Domestic Finance (DF)
- Defined benefit pension reform
- Healthcare – joint with tax policy
- Health Information Technology
- Energy and the environment – joint with International Affairs (IA)
- Housing – joint with DF
- Social Security and Medicare
 - o Social Security and Medicare Trustees Process – supporting the Secretary in his role as Managing Trustee of the Social Security and Medicare Trust Funds.
- Terrorism risk insurance
- Natural disaster insurance
- Immigration – joint with IA
- Government spectrum policy
- Patent policy

- U.S. government consolidated financial statements – joint with DF, the Fiscal Assistant Secretary's Office, and the Financial Management Service.
- Specific industry issues:
 - o Telecom
 - o Aviation
 - o Automobile manufacturing
 - o Housing

Office of Macroeconomic Analysis:

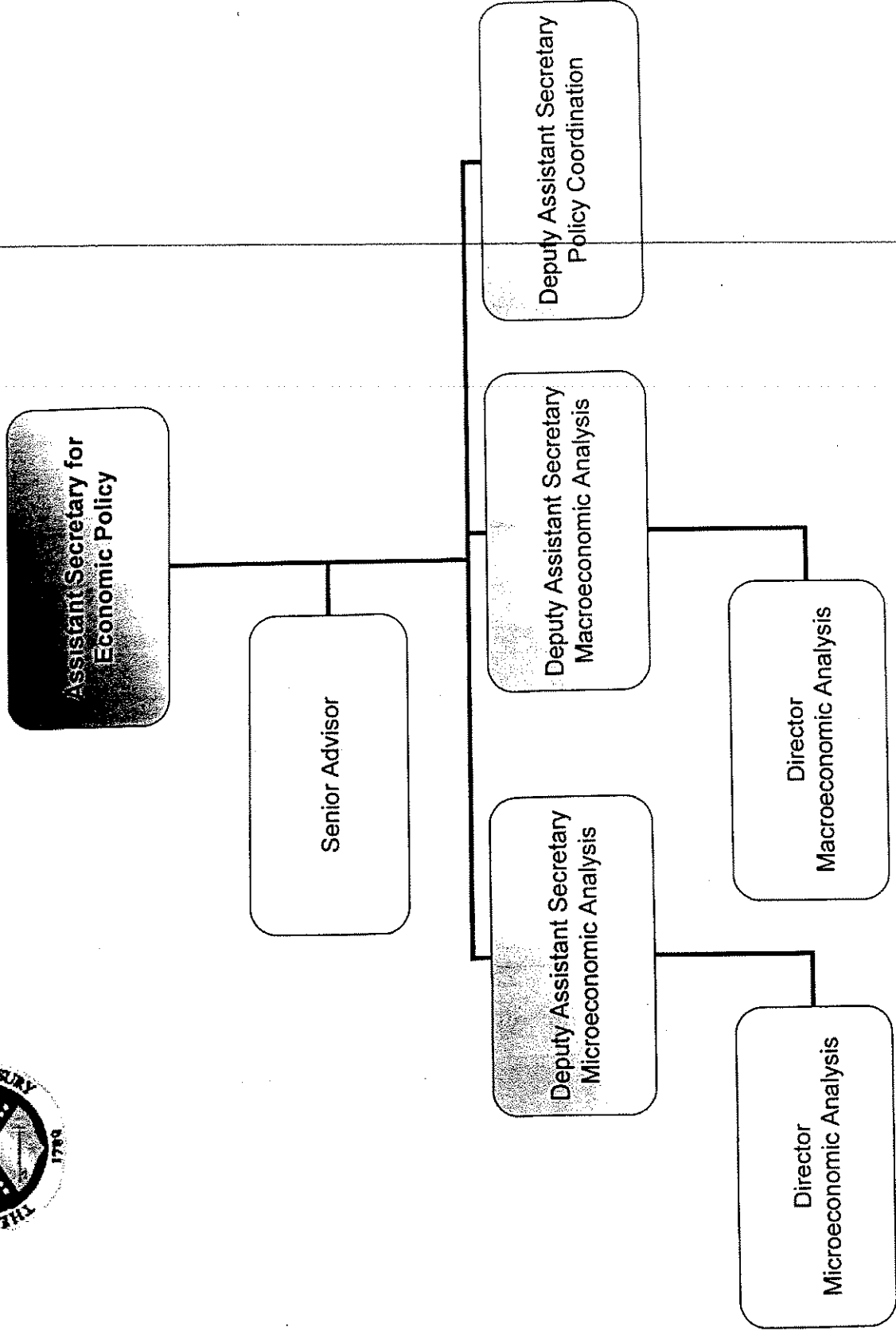
Office Director: Ralph Monaco

Topics:

- Analysis of general macroeconomic and financial market conditions.
- Corporate yield curve
- Analysis of macroeconomic data releases
 - o Production of 350 to 400 reports each year on U.S. economic indicators.
- Semi-annual Administration Troika forecast (joint with OMB and CEA).
- Macroeconomic talking points for Public Affairs and Treasury officials.
- "Profile of the Economy" chapter to the Monthly Treasury Bulletin.
- Section on U.S. Macroeconomic trends for the semi-annual Treasury foreign exchange report.
- Information on the U.S. economy to the Financial Report of the U.S. government.
- Data tables and data release calendars on the Treasury website.
- Maintaining a public website summarizing current economic conditions.
- Review of IMF Article IV report and OECD economic survey of the United States.
- Assistant Secretary's Quarterly Treasury Borrowing Advisory Committee.
- Briefing documents for senior Treasury officials' Congressional hearings.
- Facts for and review of Treasury officials' speeches.
- Meetings with international officials to discuss U.S. economic conditions.
- Analysis of economic policy proposals.
- Development of economic policy initiatives.



Office of Economic Policy



Economic Policies and Programs - Economic Policy

| Dollars in Thousands | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{1/} | |
|---------------------------------|-----------------|-----------|-----------------|-----------|-----------------|-----------|--|-----------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| Financial Policies and Programs | | | | | | | | |
| US Domestic Finance | 12,228 | 85 | 10,550 | 84 | 13,670 | 94 | 18,184 | 95.5 |
| Total | \$12,228 | 85 | \$10,550 | 84 | \$13,670 | 94 | \$18,184 | 96 |

1/ FY 2009 President's Budget does not represent approved FY 2009 operating levels

Office of the General Counsel

The Office of the General Counsel (OGC) provides legal and policy advice to the Secretary, the Deputy Secretary, and other senior Department officials. The General Counsel is also the chief regulatory officer of the Department.

The General Counsel

The General Counsel heads the office and is a statutory officer appointed by the President with the advice and consent of the U.S. Senate. The General Counsel also heads the Treasury Legal Division (TLD or Legal Division), a separate bureau within the Department that comprises attorneys and support staff across the Treasury Department. Virtually all lawyers at Treasury report directly to the General Counsel as head of the Legal Division, not their clients. In this capacity, the General Counsel is responsible for all legal work in the Department.

The Deputy General Counsel assists the General Counsel in the operation of the Legal Division. The Counselor to the General Counsel assists the General Counsel and the Deputy General Counsel by coordinating issues of general interest within the Legal Division and undertaking special assignments as requested by the General Counsel or the Deputy General Counsel. The General Counsel also is assisted by one or more Senior Advisors.

TREASURY LEGAL DIVISION

Throughout the entire Legal Division, there are approximately 2100 attorneys, of which approximately 60 operate in Treasury's Departmental Offices along with an additional 10 administrative and support staff. The Office is organized around the central functions of the department:

- 1) Banking and Finance;
- 2) Enforcement and Intelligence;
- 3) General Law, Ethics, and Regulation;
- 4) International Affairs; and
- 5) Tax Policy and Administration.

Banking & Finance

The Assistant General Counsel for Banking and Finance is principally responsible for providing legal advice on issues arising in the Office of Domestic Finance, which focuses on financial services, terrorism risk insurance, critical infrastructure protection, government-sponsored enterprises, Treasury borrowing authority and debt management (including the debt limit), regulation of Treasury securities, federal credit policy and transactions, investment of federal trust funds, and other fiscal law matters. The AGC (B&F) has been principally involved in drafting and preparing the various programs under the recently passed Emergency Economic Stabilization Act, the funding of Fannie Mae and Freddie Mac, and other recent significant actions regarding the financial stability of the United States.

- The AGC (B&F) supervises the Chief Counsels of the Bureau of the Public Debt and the Financial Management Service and the Legal Counsels to the CDFI Fund and the Terrorism Risk Insurance Program. The new Chief Counsel for the recently established Office of Financial Stability will also report to the AGC (B&F).

Enforcement & Intelligence

The Assistant General Counsel for Enforcement and Intelligence (E&I) principally advises the Under Secretary for Terrorism and Financial Intelligence. The AGC (E&I) provides legal advice relating to a wide range of issues impacting the Department's enforcement and intelligence functions, including matters focused on safeguarding the financial system against illicit use and combating rogue nations, terrorists, the proliferation of weapons of mass destruction, money laundering, narcotics kingpins, and other national security threats.

- The AGC (E&I) supervises the Chief Counsels of the Financial Crimes Enforcement Network and the Office of Foreign Assets Control and the Legal Counsel for the Treasury Executive Office for Asset Forfeiture.

General Law, Ethics, and Regulation

The Assistant General Counsel for General Law, Ethics, and Regulation (GLER) is responsible for managing a wide array of legal issues, including ethics, government contracts, privacy law, equal employment opportunity and personnel law, human resources, appropriations, fiscal, procurement, information, significant litigation, and other matters.

- The AGC (GLER) supervises the Chief Counsels of the U.S. Mint, the Alcohol and Tobacco Tax and Trade Bureau, and the Bureau of Engraving and Printing.

International Affairs

The Assistant General Counsel for International Affairs (IA) principally advises the Under Secretary for International Affairs. The AGC (IA) provides legal advice regarding a broad range of international economic and financial matters, including matters involving sovereign and third world debt, the International Monetary Fund, the World Bank and other international financial institutions, international trade and trade in financial services, inward and outward foreign investment, including the Committee on Foreign Investment in the United States (CFIUS), bilateral investment treaties, energy, environment and climate change, and international banking and securities.

International Legal Regimes Counselor

The Counselor to the General Counsel for International Legal Regimes develops and coordinates the Legal Division's approach to international law. This position, created in 2008, researches the

needs of the Legal Division with respect to foreign law and international law expertise and meets those needs through training, seminars, speakers, and other events.

Tax Policy and Administration: Chief Counsel for IRS and the International, Legislative, and Benefits Tax Policy Counsel

The Chief Counsel of the IRS is appointed by the President of the United States with the advice and consent of the U.S. Senate. The Chief Counsel is the chief legal advisor to the IRS Commissioner on all matters pertaining to the interpretation, administration, and enforcement of the Internal Revenue Laws (as well as all other legal matters) and provides legal guidance and interpretive advice to the IRS, Treasury, and taxpayers.

The Tax Policy Counsels are responsible for developing regulatory and other guidance to administer the tax code and provide legal advice in connection with domestic and legislative tax proposals and issues, international tax matters, including the negotiation of tax treaties and related documents, and benefits tax issues such as those involving pensions. These offices work closely with the IRS Commissioner and senior tax policy officials in the Department.

Other Important Legal Reporting Notes

The IRS Chief Counsel reports to both the General Counsel and the IRS Commissioner. The Chief Counsels of two other Treasury bureaus, the Office of the Comptroller of the Currency (OCC) and the Office of Thrift Supervision (OTS), work with the General Counsel and other members of the Legal Division but report directly to the Comptroller and the OTS Director, respectively. Similarly, the Counsel to the Treasury Inspector General (IG) and the Counsel to the Treasury Inspector General for Tax Administration report directly to their respective IGs.

CRITICAL UPCOMING ISSUES

Emergency Economic Stabilization Act

The Legal Division continues to provide legal and policy advice to Treasury officials on the execution of this important statute—including asset and debt management, tax guidance, personnel selection and procurement, special reporting and oversight obligations to GAO, Congress, the Office of Financial Stability, and the newly-created Special Inspector General.

The Legal Division is also assisting in the creation of a troubled asset “guarantee” program and a temporary guarantee program for money market mutual funds.

GSE Funding and Programs

Treasury continues to fund and take other actions with regard to Fannie Mae and Freddie Mac. The Legal Division was integral in creating market stability and increased liquidity in these entities by helping to put in place a secured credit facility, investment managers to purchase mortgage backed securities, and senior preferred stock facilities, thus ensuring that Fannie and

Freddie maintain a positive net worth and can continue to buy and sell mortgages. The Legal Division continues to monitor these authorities.

American Council for the Blind Litigation

The Legal Division, principally the AGC (GLER) and the Chief Counsel of BEP, continues to play an integral role in defending a class action lawsuit, which claims that the Treasury Department discriminates against visually impaired individuals by failing to design, produce, and issue paper currency that is readily distinguishable to blind and visually impaired people. The district court and the D.C. Circuit granted and sustained plaintiffs' summary judgment on the main legal issue—whether the Treasury Department violated Section 504 of the Rehabilitation Act by discriminating against the blind and visually impaired with regard to U.S. currency. The Department is currently in the process of resolving the remaining issues in the case and redesigning the currency to make it more accessible to the blind with the help of a comprehensive study that should be finalized by February 28, 2009.

Terrorist Finance Tracking Program

The Treasury Department issues administrative subpoenas for terrorist-related data to SWIFT, a company that operates a worldwide messaging system used to transmit completed financial transaction information. This valuable Terrorist Finance Tracking Program is the subject of a pending lawsuit in which plaintiffs are seeking injunctive and monetary relief. The Department is working with the Justice Department in defending the suit.

Executive Orders and National Emergencies

Under the National Emergencies Act and the International Emergency Economic Powers Act ("IEEPA"), the President can use an Executive Order to declare a national emergency with respect to a foreign-based threat to our national security, foreign policy, or economy and to put in place economic sanctions to deal with that threat. As of November 5, 2008, there were three such potential threats that might require action through such an Executive Order in the near future, and Treasury lawyers are preparing relevant drafts.

Housing and Financial Market Tax Issues

The IRS and Tax Legislative Counsel have developed many tax guidance items on issues such as municipal bond purchases by issuers; loss corporations and the limits on deductibility of loss carryovers; money market funds and Federal guarantees; real estate mortgage investment conduits (REMICs) and work-outs of mortgages. These timely issues need to be quickly addressed so Treasury can continue to provide the necessary support for our nation's economy.

Committee on Foreign Investment in the United States (CFIUS) Regulations and Cases

Treasury recently issued proposed regulations implementing the Foreign Investment and National Security Act of 2007 (FINSA), which amended the CFIUS law. The Legal Division is working with the CFIUS staff to prepare final regulations.

The Legal Division also plays a critical role in CFIUS cases. Early in the tenure of the new administration, senior policy officials (including the General Counsel, the AGC (IA), and the AGC (E&I)) can expect to be asked to consider and provide their views on the national security implications of foreign investments in U.S. companies. Such national security reviews are conducted under tight statutory time frames, require by statute personal consideration by officials at the Assistant Secretary, Undersecretary, Deputy Secretary, or Secretary level depending on the nature of the transaction, and occasionally attract significant congressional and/or public interest.

International Tax Treaties

Various tax treaties are being prepared for review and signature, such as those with New Zealand, France, Hungary, and Italy. After preparation and review by the Legal Division, the Secretary (or Deputy Secretary) will be the signatory.

Treasury Executive Office for Asset Forfeiture (TEOAF) Seized Asset Contract

The AGC (GLER) works closely with TEOAF and the Procurement Services Division (PSD) in support of an over \$105 million (with a potential future value of over \$175 million) contract for nationwide services for the receipt, possession, custody, management, and disposition of seized, blocked, and forfeited personal property. A full-time attorney is working to realign the current contract. Later this year or early next year, the Legal Division will also begin working with the PSD and TEOAF to re-compete PSD's current contract for nationwide services for the receipt, custody, management, and disposition of seized and forfeited real property.

ADMINISTRATIVE NOTES

The Treasury Legal Division is unique in the Departmental Offices in that it maintains a separate budget from the rest of the offices. This places an emphasis on carefully managing Legal Division resources as there is less of an ability to share resources with other components of DO.

The Legal Division has been engaged in several strategic planning initiatives to evaluate staffing and resource allocation to meet the evolving legal needs of the Department. Budget allocation and space planning have been critical pieces of this process, and will continue to present challenges that the Division will encounter over the coming years.

SUMMARY

The Treasury Legal Division is one of the premier government legal organizations, recognized as such by our clients, the government legal community, and public stakeholders. The Division has worked diligently to foster leadership in our legal and policy fields, excellence in our lawyering, proactive approaches to legal problems, and development of our lawyers and professionals. I know that you will continue this proud tradition.

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graph TD
    GC[General Counsel] --> AGC_IRS[Assistant General Counsel, Chief Counsel, IRS]
    GC --> AGC_IntAff[Assistant General Counsel, International Affairs]
    GC --> AGC_LawEthReg[Assistant General Counsel, General Law, Ethics, & Regulation]
    GC --> AGC_EnfInt[Assistant General Counsel, Enforcement & Intelligence]
    GC --> AGC_BankFin[Assistant General Counsel, Banking & Finance]
    GC --> AGC_Special[Special Counsel]
    GC --> AGC_Tax[Legislative Tax Counsel]
    GC --> AGC_IntTax[International Tax Counsel]
    GC --> AGC_Benefits[Benefits Tax Counsel]
    GC --> DGC[Deputy General Counsel]
    GC --> CILR[Counselor for International Legal Regimes]
    GC --> CAGC[Counselor to the General Counsel]
    GC --> SAGC[Senior Advisor to the General Counsel]
    GC --> SAGC_D[Senior Advisor to the General Counsel (Detailed)]
    DGC --> DGC_IntAff[Deputy Assistant General Counsel, International Affairs]
    DGC --> DGC_LawEthReg[Deputy Assistant General Counsel, General Law & Regulation]
    DGC --> DGC_EnfInt[Deputy Assistant General Counsel]
    DGC --> DGC_BankFin[Deputy Assistant General Counsel]
    DGC --> DGC_PublicDebt[Chief Counsel, Public Debt]
    DGC --> DGC_FinStab[Chief Counsel, Financial Stability]
    DGC --> DGC_FinMgmt[Chief Counsel, Financial Management Service]
    DGC --> DGC_CommDev[Legal Counsel, Community Development Financial Institutions Fund]
    DGC --> DGC_TerrorismRisk[Legal Counsel, Terrorism Risk Insurance Program]
    AGC_IRS --> USTC[Chief Counsel, U.S. Mint]
    AGC_IRS --> EP[Chief Counsel, Engraving & Printing]
    AGC_IRS --> ATC[Chief Counsel, Alcohol & Tobacco Tax and Trade]
    AGC_LawEthReg --> SC[Special Counsel]
    AGC_EnfInt --> CASC[Chief Counsel, Foreign Assets Control]
    AGC_EnfInt --> CCFC[Chief Counsel, Financial Crimes Enforcement Network]
    AGC_EnfInt --> CEAFO[Chief Counsel, Executive Office of Asset Forfeiture]
  
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The organizational chart for the U.S. Treasury Department, Office of the General Counsel, is structured as follows:

- General Counsel**
 - Assistant General Counsel, Chief Counsel, IRS
 - Chief Counsel, U.S. Mint
 - Chief Counsel, Engraving & Printing
 - Chief Counsel, Alcohol & Tobacco Tax and Trade
 - Assistant General Counsel, International Affairs
 - Deputy Assistant General Counsel, International Affairs
 - Assistant General Counsel, General Law, Ethics, & Regulation
 - Deputy Assistant General Counsel, General Law & Regulation
 - Special Counsel
 - Assistant General Counsel, Enforcement & Intelligence
 - Deputy Assistant General Counsel
 - Chief Counsel, Foreign Assets Control
 - Chief Counsel, Financial Crimes Enforcement Network
 - Chief Counsel, Executive Office of Asset Forfeiture
 - Assistant General Counsel, Banking & Finance
 - Deputy Assistant General Counsel
 - Chief Counsel, Public Debt
 - Chief Counsel, Financial Stability
 - Chief Counsel, Financial Management Service
 - Legal Counsel, Community Development Financial Institutions Fund
 - Legal Counsel, Terrorism Risk Insurance Program
 - Special Counsel
 - Legislative Tax Counsel
 - International Tax Counsel
 - Benefits Tax Counsel
 - Deputy General Counsel
 - Counselor for International Legal Regimes
 - Counselor to the General Counsel
 - Senior Advisor to the General Counsel
 - Senior Advisor to the General Counsel (Detailed)

General Counsel

| Dollars in Thousands General Counsel | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{1/} | |
|---|----------------|-----------|----------------|-----------|----------------|-----------|---|-----------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| General Counsel | 7,773 | 55 | 8,633 | 64 | 9,909 | 68 | 10,496 | 69.5 |
| Total | \$7,773 | 55 | \$8,633 | 64 | \$9,909 | 68 | \$10,496 | 70 |

^{1/} FY 2009 President's Budget does not represent approved FY 2009 operating levels

Office of International Affairs

Overview:

Treasury's Office of International Affairs (IA) protects and supports economic prosperity at home by encouraging financial stability and sound economic policies abroad. In order to advance this mission IA has focused on six policy priorities over the past year:

- 1) Market reform in China
- 2) Enhancing inbound and outbound investment policy
- 3) Responding to the changing economic landscape
- 4) Reforming the international financial institutions
- 5) Supporting economic liberalization and development
- 6) Adopting an environment and energy agenda
- 7) Improving IA's management capabilities.

In addition to our priorities IA also leads and/or participates in negotiations to reduce barriers to international trade and finance, oversees U.S. participation in the IMF and the multilateral development banks, including the World Bank, coordinates U.S. participation in the G-7 and G-20, the Financial Stability Forum (FSF), the Paris Club, and chairs the interagency process for the Committee on Foreign Investment in the United States (CFIUS).

Immediate Hires:

IA currently has 174 professional and administrative staff. In terms of immediate political appointees that will need to be made, IA has an Under Secretary, and two Assistant Secretaries that require Presidential appointment and Senate confirmation, as well as two/three Deputy Assistant Secretaries who are traditionally politically appointed.

Critical Issues:

Financial Market Turmoil:

- 1) **International Outreach:** IA is responsible for communicating U.S. market actions to our Finance Ministry counterparts around the world – particularly Europe – and developed a coordinated global response by working through the G-7 and G-20 process.
- 2) **Emerging Markets:** IA has been tracking, monitoring, and developing policy responses to emerging market countries that have been affected by the market volatility. IA takes the lead for the USG in coordinating our response with the International Financial Institutions (IFIs).
- 3) **TARP Engagement:** IA is a member of the TARP Team and our Banking Office has provided advice on various aspects of TARP implementation, particularly related to the participation of foreign-based institutions.
- 4) **Global Financial Crisis Response:** IA is exploring ideas to strengthen the coordination between the FSF, the IMF, and various standard setting bodies (e.g., international fora for banking, securities, and insurance supervisors) as a response to calls for a global regulatory body and new global financial architecture. The Financial Stability Forum,

established in 1997, is the key forum we have used to address regulatory problems associated with the current financial crisis.

- 5) **Dollar Policy:** IA is responsible for providing the analysis, decision making, coordination, and execution of exchange rate policies.

Committee on Foreign Investment in the United States (CFIUS):

- 1) **CFIUS Reform:** CFIUS, a USG interagency committee (12 member agencies) chaired by Treasury, reviews certain foreign acquisitions in the U.S. to determine if they pose a threat to national security. Over the past 2 years, since Dubai Ports World, IA has reorganized our process to enhance accountability, worked with Congress to amend the CFIUS statute, and recently revised the 1992 regulations.
- 2) **Current Case Load:** 145 cases have been filed so far in 2008, an annual pace of over 180 cases, compared to 147 for 2007 and 113 for 2006, and an annual average of roughly 60 prior to Dubai Ports World. CFIUS had 50 cases during August and September alone.

Individual Country Priorities:

- 1) **China:** China's rapid economic growth and integration into the world economy have increased the impact of Chinese policy decisions on global economic growth. IA has the lead in engaging China in three areas: (1) greater exchange rate flexibility; (2) encouraging a less export dependent growth model; and (3) modernization of China's financial system. All three are critical topics in the Strategic Economic Dialogue. A financial attaché and deputy attaché are posted in Beijing.
- 2) **Iraq:** IA plays a major role in developing and executing U.S. economic and financial policy in Iraq. A financial attaché, three Office of Technical Assistance (OTA) budget advisors, and an OTA bank supervision advisor are posted in Baghdad.
- 3) **Afghanistan:** IA is working with the Afghan government to improve budget management, building capacity, and tackling corruption at all levels of government. IA has an attaché in Kabul, and technical advisors in the Finance Ministry and central bank working on debt management, money laundering, and terrorist financing.
- 4) **Pakistan:** Pakistan is in the middle of a balance of payments crisis and is on the verge of possible default. At this point, Pakistan needs a formal IMF stabilization program that is both credible and backed by actions in order to increase market confidence and make it possible for us to organize external financial support.
- 5) **Crisis Countries:** As countries go into financial crisis, IA takes a lead role in analyzing and developing policy responses to those crises.

IA FY09 150 Account Budget Request:

- 1) **150 Account:** The 150 account covers Treasury's request for the USG contribution to the multilateral development banks (World Bank, ADB, AfDB, and IADB) as well as our debt accounts and the Office of Technical Assistance (OTA).
- 2) **FY09 Request:** For FY09, IA requested \$2.2 billion for Treasury Programs, a 30% increase over FY08 requested and 6% of total 150 Account Request (\$39.5 billion). The majority of this increase comes from two key priorities – our request for the International Development Association (World Bank's fund for the poorest countries), and our request for the Clean Technology Fund. As a result of the CR, the FY09 budget request will be funded in an FY09 Omnibus negotiated in March 2009.
- 3) **Upcoming Issues:** While not immediate priorities, over the next six months we will need to address implementing agreed World Bank reform and IMF quota deals and capital increase requests or reviews at the ADB, the EBRD and the IDB.

Operating Budget:

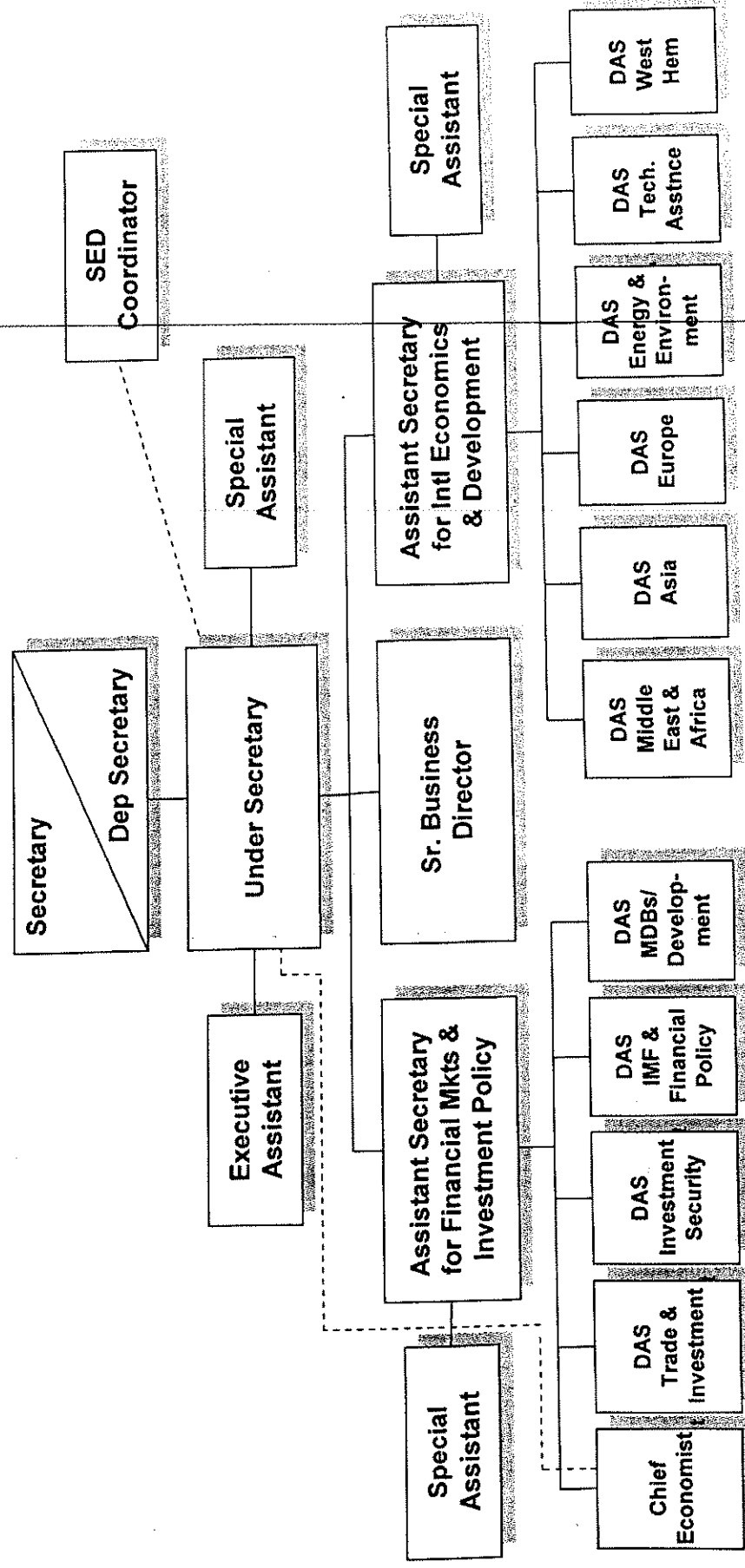
During the current CR (October – March), IA is operating under a hiring freeze and all non-salary expenses are being closely monitored.

Office of Technical Assistance (OTA): IA also manages OTA which includes 20 permanent hires and over 100 contractors worldwide – working in about 70 countries. Their budget is appropriated directly from Congress and is managed separately from other IA resources.

IA Attachés: IA currently has Attachés in 11 locations (Abu Dhabi, Baghdad, Beijing, Brussels, Cairo, Jerusalem, Kabul, New Delhi, Sao Paulo, Singapore, and Tokyo), and is looking to hire and/or deploy to another 8 locations (Dubai, Islamabad, Jakarta, Johannesburg, London, Mexico City, Moscow, and Riyadh) in FY09.

International Financial Institutions (IFI) Staff: IA currently staffs 25 people at the IFIs (IMF, World Bank, IDB, ADB, AfDB, and EBRD), which includes both non-political staff and the Executive Directors and Alternates at these institutions, each of whom is a Presidential appointee and some of whom require Senate confirmation. IFI Staff to the Executive Directors are hired directly by these institutions or their salaries are reimbursed, and they are granted re-employment rights to Treasury.

International Affairs – Organization Structure



Economic Policies and Programs - International Affairs

| Dollars in Thousands Economic Policies and Programs | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{1/} | |
|--|-----------------|------------|-----------------|------------|-----------------|------------|--|------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| International Affairs | 27,278 | 188 | 33,960 | 198 | 39,676 | 209.5 | 41,166 | 213 |
| Total | \$27,278 | 188 | \$33,960 | 198 | \$39,676 | 210 | \$41,166 | 213 |

^{1/} FY 2009 President's Budget does not represent approved FY 2009 operating levels

| | | | | | | | | |
|--|--------------------|----------|--------------------|----------|--------------------|----------|--------------------|----------|
| International Programs ^{2/} | | | | | | | | |
| Multilateral Development Banks | \$1,245,885 | 0 | \$1,273,219 | 0 | \$1,277,289 | 0 | \$2,071,305 | 0 |
| Debt Restructuring | 64,350 | 0 | 64,350 | 0 | 20,235 | 0 | 29,000 | 0 |
| Technical Assistance | 19,800 | 0 | 19,800 | 0 | 30,055 | 0 | 141,000 | 0 |
| Total Treasury International Programs | \$1,330,035 | 0 | \$1,357,369 | 0 | \$1,327,579 | 0 | \$2,241,305 | 0 |

^{2/} Provided in the State, Foreign Operations, and Other Related Programs Appropriation

Office of Legislative
Affairs

Office of Legislative Affairs

Overview:

Treasury's Office of Legislative Affairs (OLA) advances the President's and Secretary's legislative initiatives and other interests before the Congress. OLA articulates the Administration's and Department's position on legislation proposed by Congress, communicates congressional priorities and concerns to Treasury officials, facilitates the appearance of Department witnesses at congressional hearings, and manages the interagency clearance process led by OMB. OLA coordinates the Department's responses to congressional committee oversight requests and other inquiries from individual Members and congressional staff. OLA also manages the process of gaining confirmation by the Senate for the Department's Presidential appointees (PAS positions) including the Secretary, Deputy Secretary, Under Secretaries, General Counsel, Assistant Secretaries, the Commissioner of the Internal Revenue Service, the Director of the U.S. Mint, and the Treasurer.

Organization:

OLA is aligned with the major policy offices of Main Treasury, with five deputy assistant secretaries who manage specific policy and program areas, working closely with their relevant Under/Assistant Secretaries. The Assistant Secretary heads the office and is assisted in managing the office and nominations by a Deputy to the Assistant Secretary.

Current positions within OLA are as follows:

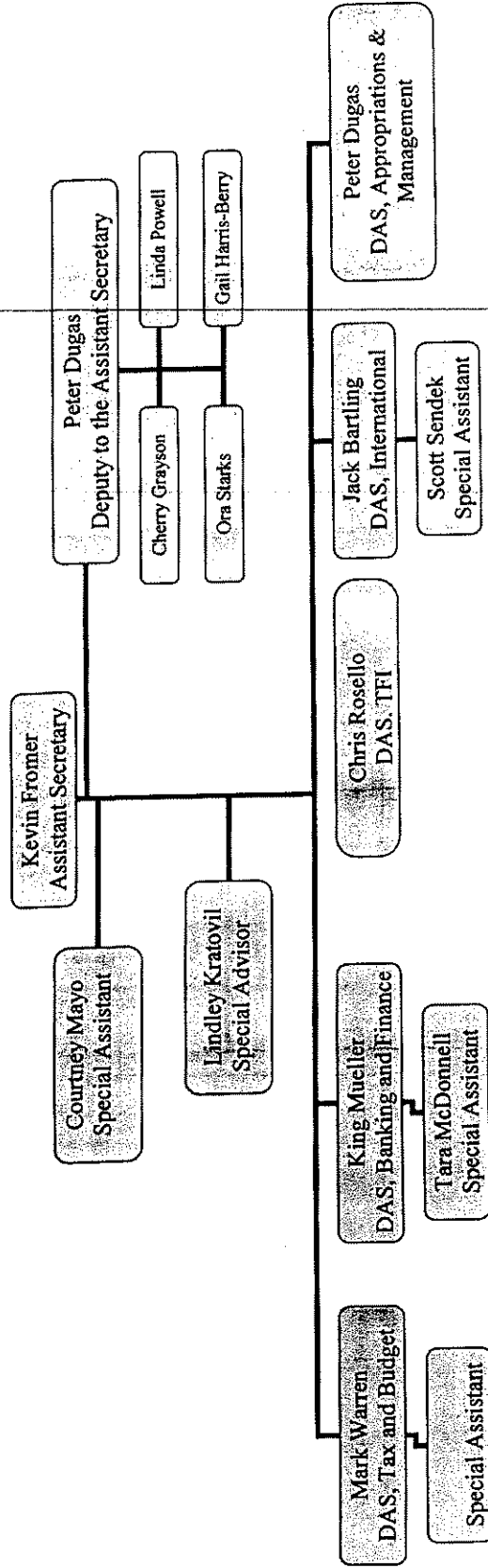
- 1) Deputy Assistant Secretary (Tax and Budget)
- 2) Deputy Assistant Secretary (International)
- 3) Deputy Assistant Secretary (Banking and Finance)
- 4) Deputy Assistant Secretary (Appropriations and Management)
- 5) Deputy Assistant Secretary (Terrorism and Financial Intelligence)
- 6) Deputy to the Assistant Secretary (Nominations)
- 7) Special Assistant to the Assistant Secretary
- 8) Special Assistant (Tax and Budget)
- 9) Special Assistant (International)
- 10) Special Assistant (Banking and Finance)
- 11) Special Advisor (Economic Policy)
- 12) Office Manager
- 13) Legislative Correspondence
- 14) Legislative Research
- 15) Administrative Assistant

Each Treasury bureau has congressional relations offices which coordinate with Treasury OLA as necessary.

Operating Budget

For October 1 through March 6, 2009, the Office of Legislative Affairs budget totals \$820,873, including \$805,110 for salary and \$15,763 for non-salary expenses.

Department of the Treasury
Office of Legislative Affairs



Treasury Bureaus – Congressional Liaisons

| | | | | | |
|--------------------------|----------------------|------------------------|--------------------------|---------------------------|------------------|
| US Mint Cliff Northup | CDFI Art Garcia | OTS Kevin Petrasic | IRS Floyd Williams | FINCEN Patrick O'Brien | TTB Tom Hogue |
| BEP Dawn Haley | FMS Alvina McHale | BPD Pete Hollenbach | OCC Carolyn McFarlane | OFAC Kevin McCormick | |

Executive Direction - Legislative Affairs

| Dollars in Thousands Executive Direction Legislative Affairs | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{1/} | |
|--|---------|-----|---------|-----|---------|------|---|------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| | 1,505 | 13 | 1,512 | 13 | 1,825 | 14.5 | 1,874 | 14.5 |
| Total | \$1,505 | 13 | \$1,512 | 13 | \$1,825 | 15 | \$1,874 | 15 |

1/ FY 2009 President's Budget does not represent approved FY 2009 operating levels

Office of the Assistant
Secretary for Man/CFO

Office of the Assistant Secretary for Management/CFO

Overview:

The Office of the Assistant Secretary for Management (ASM) oversees Department-wide management programs including information technology, management, financial/accounting, strategic planning, performance budgeting/metrics, acquisition/procurement, training, human capital and workforce management, equal employment opportunity, environmental health and safety, administrative support services, emergency preparedness, ~~competitive sourcing, privacy~~ and civil liberties, and freedom of information. The office is responsible for implementation of the President's Management Agenda and serves as the Department's Chief Operating Officer for purposes of the Presidential Memorandum, "Implementing Government Reform".

As the Department's Chief Financial Officer, the ASM is responsible for preserving the integrity and reliability of the Department's financial systems, overseeing Department-wide financial management, accounting policy, internal controls, cash management, credit management, debt management, and the coordination and monitoring of Department-wide government accountability; managing the financial reports and statements process, and the integrated agency and bureau financial management systems; chairing the Treasury Chief Financial Officers Council and represents the Department at the government wide Chief Financial Officers Council.

The ASM/CFO supervises the following offices:

Deputy Chief Financial Officer (DCFO) responsible for implementing accounting policy and procedures, internal controls, and oversight of the automated financial management and revenue systems; provides policy and programs and investment management for assets related to real property, personal property and fleet; manages the Treasury Franchise Fund and Working Capital Fund, which includes oversight responsibilities.

Deputy Assistant Secretary for Management and Budget (DASMB) responsible for strategic planning, budget formulation, organizational issues, and program evaluation; oversees the strategic planning processes and the implementation of the Government Performance and Results Act, analyzes resource requests and allocations, as well as budget execution; makes recommendations to departmental offices and bureaus on budget priorities and strategies; prepares and coordinates the annual budget submission for the Department to OMB, and works with OMB on the Department's portion of the President's Budget; formulates, manages, and directs the budget process for Departmental Offices.

Deputy Assistant Secretary for Departmental Offices Operations (DASDO) provides management and administrative support for the offices and employees in the Department's headquarters offices (Departmental Offices). The office oversees the Department's headquarters facilities, as well as offices which provide various support functions in the areas of renovations, travel, historical preservation and curatorial services, telephone operator services, special events, food services, asset management, safety/health/environmental compliance, and printing and graphics.

Deputy Assistant Secretary for Human Resources and Chief Human Capital Officer (DASHR/CHCO) provides Department-wide oversight in all areas of human capital management, including Equal Employment Opportunity (EEO) and diversity and civil rights; executes Treasury's responsibilities for certain District of Columbia retirement programs; develops broad programs and policy guidance for human resources programs and initiatives/strategies; provides consultative services for the bureaus on human capital issues, including performance management, workforce development, executive resources, employment and staffing, compensation policy, labor and employee relations, and workers compensation; manages the Treasury Executive Institute, providing learning opportunities for executives and GS-15s from the Departmental Offices and bureaus.

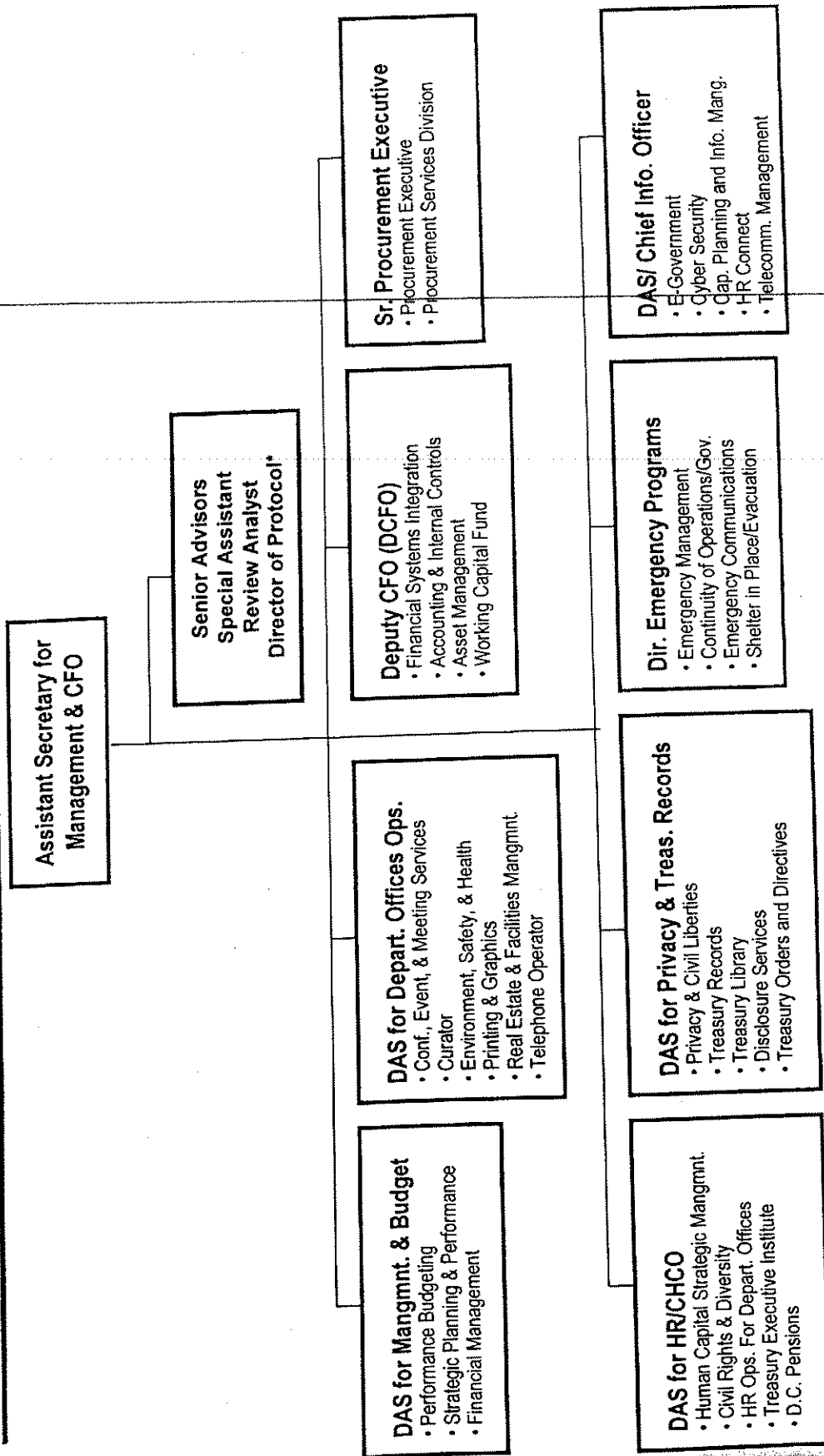
Deputy Assistant Secretary (Information Systems) and Chief Information Officer (DASIS/CIO) responsible for Department-wide information technology (IT) strategy, budget, and governance; responsible for policy, compliance, and oversight of the Treasury IT investment portfolio, compliance with the Paperwork Reduction Act and Information Quality Act, Department-wide IT security, operational compliance and privacy safeguards, and serves as the Department's lead on E-Government initiatives. The CIO chairs the Technical Investment Review Board, provides policy direction and oversight of the Department's IT human capital requirements, enterprise architecture development and information management. The CIO also oversees the Department's IT governance and IT capital planning and investment control process, cyber security, telecommunications, and the human resources management system.

Deputy Assistant Secretary for Privacy and Treasury Records (DASPTR) responsible for Department-wide policy, reporting, and compliance with applicable authorities, as well as Departmental Offices operations, in the privacy and civil liberties areas, as well as in the related information management areas of records disclosure under the Freedom of Information Act; the management, preservation, and appropriate release of Treasury records; and library and research services; maintains a system of Treasury Orders and Directives program that reflect current Departmental policies, activities, and procedures.

Senior Procurement Executive (SPE) provides guidance for Departmental offices and bureau procurement programs and systems, evaluates bureau procurement operations, directs and expands the use of streamlined, cost effective procurements, purchase card and strategic sourcing, commercial item acquisitions, and performance-based service contracting. Manages the Procurement Services Division, the operational procurement function for Departmental Offices, responsible for obligating and managing DO procurements. SPE also administers a Department-wide career management program for acquisition professionals.

Director of Emergency Programs (EP) coordinates and facilitates the Department's emergency programs, working with other national security and emergency preparedness components in the federal government. EP is responsible for the development and maintenance of policies, plans, and procedures to support those initiatives as well as the associated training, tests, and exercises. Office functional areas include emergency management, continuity of operations, and continuity of government, emergency communications, and shelter in place/evacuation.

Office of the Assistant Secretary for Management & CFO



*Day-to-Day Supervision by the Office of the Chief of Staff
[Rev. 10/08]

Assistant Secretary for Management

| Dollars in Thousands | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's | |
|--|-----------------|------------|-----------------|------------|-----------------|------------|---------------------|------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| Assistant Secretary for Mgmt. (Salaries and Expenses) | | | | | | | | |
| Treasury-Wide Management | 16,675 | 94 | 17,837 | 99 | 18,505 | 99 | 19,193 | 100 |
| Assistant Secretary for Management & CFO | 734 | 6 | 870 | 6 | 748 | 6 | 612 | 5 |
| Office of Emergency Preparedness | - | 0 | 962 | 5 | 1,585 | 5 | 1,613 | 5 |
| DAS HR/CHCO | 2,673 | 22 | 2,782 | 22 | 2,764 | 22 | 2,887 | 22 |
| DAS Information Systems/ CIO | 2,091 | 20 | 1,936 | 20 | 2,156 | 20 | 1,912 | 18 |
| Deputy Chief Financial Officer | 2,670 | 21 | 651 | 21 | 2,712 | 21 | 2,783 | 21 |
| Office of Procurement Executive | 669 | 4 | 2,794 | 4 | 670 | 4 | 692 | 4 |
| DAS Management & Budget | 2,715 | 21 | 2,719 | 21 | 2,755 | 21 | 2,824 | 21 |
| Privacy Office | 5,121 | 0 | 5,121 | 0 | 5,114 | 0 | 5,232 | 0 |
| Treasury-Wide Audits | 63,094 | 160 | 74,802 | 160 | 78,624 | 160 | 90,809 | 183 |
| Administrative Programs | 443 | 3 | 395 | 3 | 466 | 3 | 0 | 0 |
| DAS Headquarters Operations | 20,309 | 15 | 22,502 | 15 | 25,700 | 15 | 28,000 | 15 |
| Office of Information Technology | 485 | 4 | 482 | 4 | 515 | 4 | 0 | 0 |
| Office of Disclosure Services | 3,893 | 33 | 3,882 | 33 | 4,148 | 33 | 3,242 | 25 |
| Office of Financial Management | 2,444 | 17 | 2,539 | 17 | 2,598 | 17 | 1,007 | 8 |
| Procurement Services Division | 11,959 | 88 | 12,450 | 88 | 13,940 | 88 | 12,305 | 76 |
| Office of Facilities and Support Services | 2,970 | 0 | 4,200 | 0 | 2,053 | 0 | 3,197 | 18 |
| Privacy Office | 4,817 | 0 | 2,966 | 0 | 4,025 | 0 | 2,150 | 0 |
| Secret Service Security Detail | 15,774 | 0 | 7,752 | 0 | 7,178 | 0 | 4,791 | 0 |
| DO-IT Modernization | - | 0 | 17,634 | 0 | 18,000 | 0 | 16,124 | 0 |
| Centralized Services, Space & Utilities | - | 0 | - | 0 | - | 0 | 12,200 | 0 |
| Centralized Services - Working Capital Fund 1/ | - | 0 | - | 0 | - | 0 | 5,090 | 24 |
| Command Center | - | 0 | - | 0 | - | 0 | - | 0 |
| Total Salaries and Expense | \$79,768 | 254 | \$92,639 | 259 | \$97,129 | 259 | \$110,002 | 283 |
| Other Departmental Offices Appropriated Accounts | | | | | | | | |
| Department-wide Systems and Capital Investment Program | 24,168 | - | 30,268 | - | 18,710 | - | 26,975 | - |
| Treasury Building and Annex Repair and Restoration | 9,900 | 9 | - | - | - | - | - | - |
| Air Transportation Stabilization Board | 2,723 | - | - | - | - | - | - | - |
| Total Other DO Accounts | \$36,790 | 9 | \$30,268 | - | \$18,710 | - | \$26,975 | - |
| Working Capital Fund Plan | | | | | | | | |
| | 213,669 | 193 | 257,931 | 229 | 265,133 | 223 | 265,783 | 223 |

1/ Represents the Departmental Offices contribution to the Working Capital Fund

2/ President's Budget reflects FY 2008 TWM and ADMIN reorganization to create Privacy Offices and Procurement Services Division

Office of Public Affairs

Overview:

The Office of Public Affairs develops and implements communications strategy for the Department and advises officials within the Department and its bureaus how best to communicate issues and priorities of public interest.

Immediate Hires:

The Public Affairs Office is currently comprised of about 17 employees; 10 political appointments and seven career. There are no career spokespeople in the office so there is an immediate need to bring on board on-the-record press secretaries.

Political Appointees:

- Assistant Secretary for Public Affairs (Presidentially-Nominated, Senate-Confirmed)
 - Deputy Assistant Secretary for Public Affairs (Press)
 - Director Office of Public Affairs
 - Public Affairs Specialist for Domestic Finance
 - Public Affairs Specialist for International Affairs
 - Public Affairs Specialist for Tax Policy and the Economy
 - Public Affairs Specialist for Illicit Finance, Enforcement
 - Senior Adviser to the Assistant Secretary
 - Media Coordinator
 - Deputy Assistant Secretary for Business Affairs and Public Liaison (Consumer Groups, Trade Associations, etc)
 - Senior Advisor
 - Special Advisor
 - Speechwriter

Career Employees:

- Review Analyst & Scheduling Coordinator – Carmen Alvarado
- Public Information Coordinator – Frances Anderson
- Administrative Support Assistant – Ronda Buckmon
- Administrative Support Specialist – Rowena Holloway
- Public Liaison Program Coordinator – Vee Joeseph
- Photographer – Chris Taylor
- News Analyst – Bill Robertson

Bureaus

Each of the 10 bureaus under the Treasury Department has their own public affairs office. All bureau public affairs employees are career. They operate independently but should coordinate with, and seek guidance from, the PA office at the Main Treasury. Policy is set at Main Treasury and executed at the Bureaus.

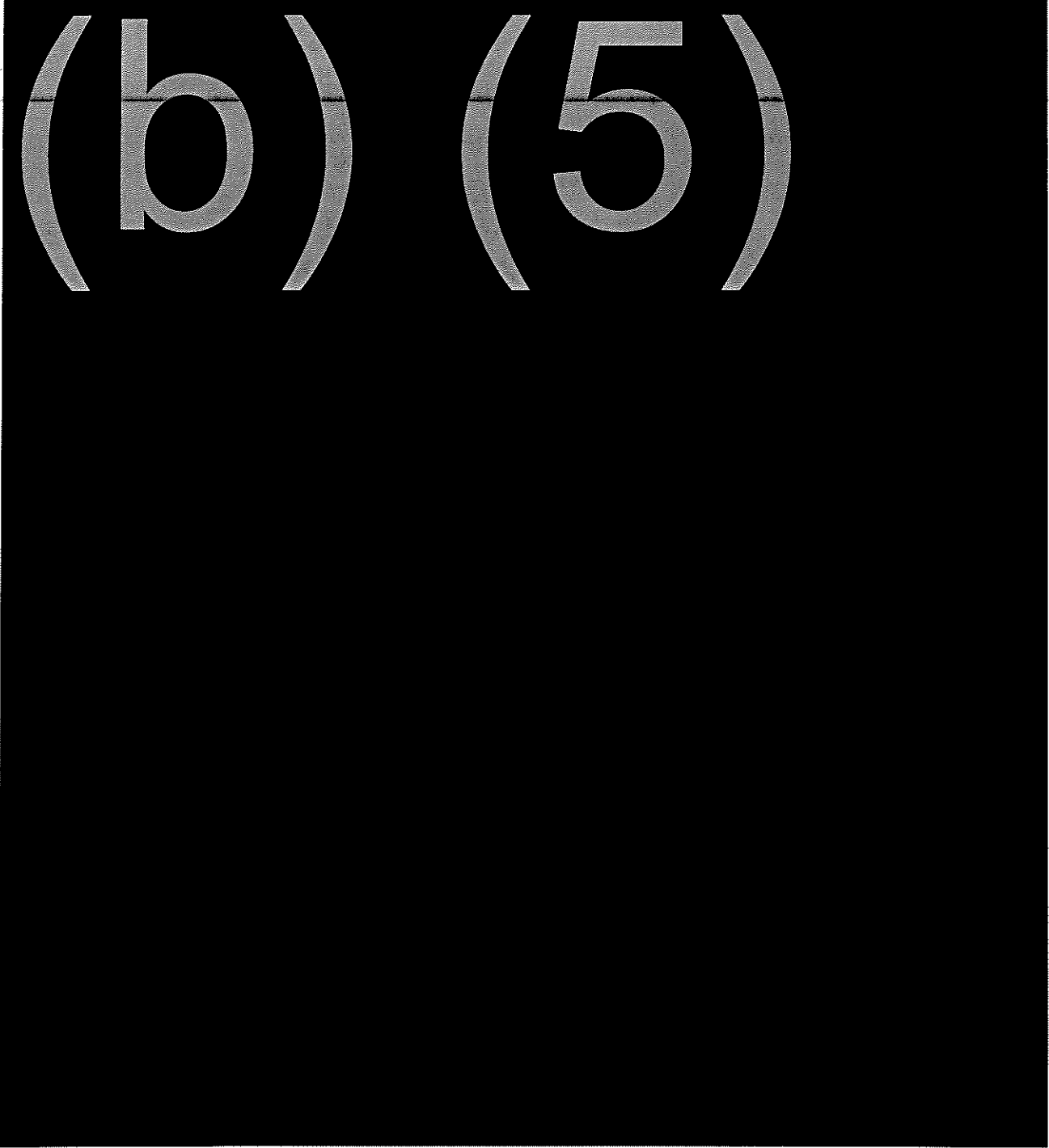
Operating Budget:

The Public Affairs annual operating budget is roughly \$2.4 million.

- Salaries and Bonuses – \$2.2 million
- Travel – \$105,000
- Other Expenses – \$110,000

Critical Issues:

(b) (5)



Executive Direction - Public Affairs

| Dollars in Thousands Executive Direction Public Affairs | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{1/} | |
|---|---------|-----|---------|-----|---------|-----|---|-----|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| | 2,972 | 18 | 2,986 | 18 | 3,212 | 18 | 3,274 | 18 |
| Total | \$2,972 | 18 | \$2,986 | 18 | \$3,212 | 18 | \$3,274 | 18 |

^{1/} FY 2009 President's Budget does not represent approved FY 2009 operating levels

Strategic Economic Dialogue (SED)

Overview

The U.S. China Strategic Economic Dialogue (SED) was launched in September 2006. This Dialogue, occurring at the highest official levels, is the first of its kind, reflecting the growing interrelationship between the U.S. and Chinese economies by providing an overarching framework for existing discussions and future economic relations. Specifically, it examines long-term strategic issues, provides coordination among the specialized continuing dialogues, and prioritizes the economic agenda between the United States and China while creating a track record of concrete outcomes. SED also creates a forum for discussing ways the United States and China can work together to address economic challenges (such as the recent global economic turmoil) and opportunities as responsible stakeholders in the international economic system.

The Strategic Economic Dialogue is convened semi-annually in the United States and China, with the next meeting scheduled for December 4-5, 2008, in Beijing. Each session is lead by the "special representatives" of the two countries' Presidents, currently Secretary Paulson in the United States and Vice Premier Wang Qishan in China, whose delegations are comprised of Cabinet officials from each country. For the December meeting, the U.S. delegation will include approximately 10 U.S. Cabinet officials, and the Chinese delegation anticipates about 15 Ministers. At each session of the SED, the host country's President formally receives the Dialogue's participants.

In China, President Hu designated Vice Premier Wang Qishan (who has a direct and close relationship with Hu and Chinese Premier Wen) in March of 2008 to lead the Chinese side of the Dialogue. In that role, he has been given full decision making authority across all aspects of the Chinese economy as it relates to the United States, including trade, finance, macroeconomic policy, energy, the environment, and healthcare. President Hu has also created a special ministerial-level working group composed of all 18 economic and related Chinese ministries specifically to support the SED. At the end of each formal session of the Dialogue, the two sides issue a joint fact sheet that shares publicly the results of the work that the two sides have concluded since the last meeting of the SED, and lays out a work plan for the next six months. As such, the Dialogue is a process which continues throughout the year.

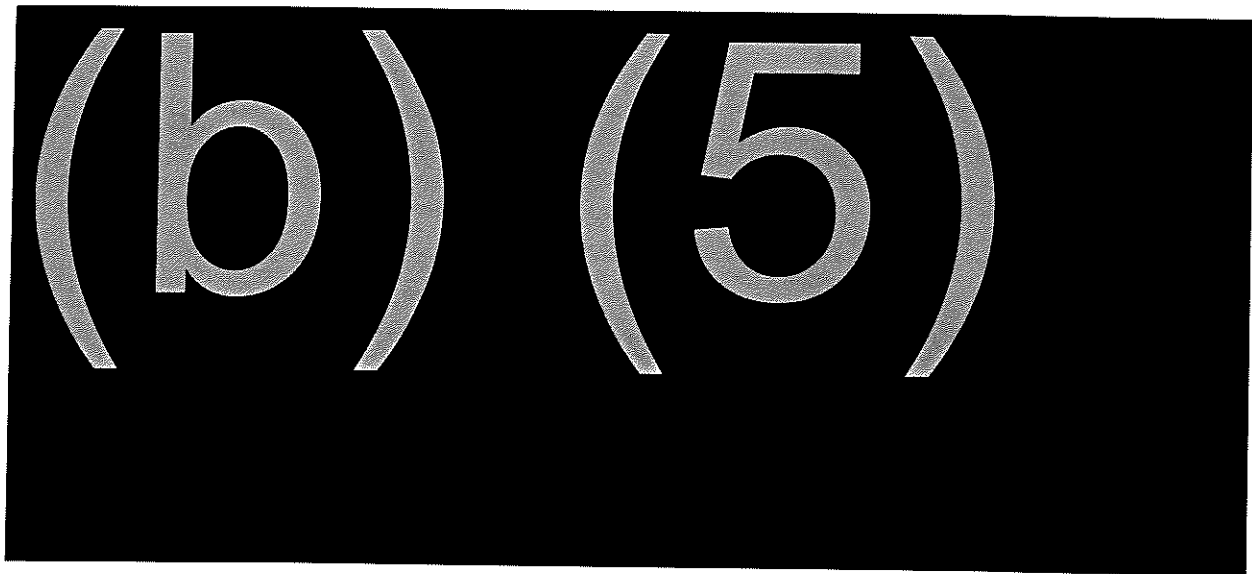
The SED helps to ensure that the leaders of the two countries are focused on critical economic challenges facing their economies, have a forum for discussing cross-cutting issues, and can make the most productive use of the existing bilateral commissions and dialogues. Themes from the Dialogue include: seizing the opportunities of global integration and trade; unleashing the power of innovation, competition and markets; meeting the challenges of demographic change; ensuring energy security; and promoting conservation and economic growth. The United States will also support China in China's goal of building a consumer-driven economy rooted in open markets. The intent of this

Dialogue is to discuss long-term strategic challenges; however, in many cases the SED also has to a role in seeking immediate solutions to the issues of the day.

The discussion of long-term structural issues in the SED provides a stronger foundation for pursuing concrete results through existing bilateral economic dialogues and ensuring that citizens of both countries benefit fairly from the growing bilateral economic relationship. It also provides support and guidance for existing bilateral economic forums, which remain essential to managing specialized aspects of the interdependent U.S.-China economic relationship; the SED uses these dialogues to accomplish work between sessions and thereby enhances these existing forums, as the most recent meeting of the JCCT suggests. Existing economic and related dialogues include:

- The Joint Commission on Commerce and Trade (JCCT) between the U.S. Department of Commerce, the U.S. Trade Representative, and the Chinese Vice Premier responsible for trade.
- The Joint Economic Committee (JEC) between the U.S. Department of the Treasury and the Chinese Ministry of Finance.
- Joint Commission on Science and Technology between the U.S. Director of the Office of Science and Technology Policy and the Chinese Ministry of Science and Technology.
- The Economic Development and Reform Dialogue between the U.S. Department of State and China's National Development and Reform Commission.
- The Energy Policy Dialogue between the U.S. Department of Energy and China's National Development and Reform Commission.
- The Global Issues Forum led by the U.S. Department of State and China's Ministry of Foreign Affairs.
- The Healthcare Forum between the U.S. Department of Health and Human Services and the Chinese Ministry of Health.

Critical Issues for First Six Months



U.S.-China Ten Year Energy and Environment Cooperation Framework

Overview

The Ten Year Energy and Environment Cooperation Framework (TYF) under the U.S.-China Strategic Economic Dialogue (SED) was created to foster long term, extensive collaboration to ~~address the challenges of environmental sustainability, climate change and energy security.~~ The aim of the TYF is to close the gap between energy and environmental targets set by each country and performance of each country in meeting those targets. While these are not shared targets, the two countries share the objective of developing a new model of environmental sustainability that improves energy efficiency and reduces dependency on foreign oil while maintaining economic growth. As a result, the TYF is a flexible mechanism aimed at producing concrete results. It does not attempt to address the political factors of climate change, but rather focuses on ameliorating the root causes of climate change in each country. The initial five goals are:

- 1) Clean, Efficient and Secure Electricity Production and Transmission
- 2) Clean Water
- 3) Clean Air
- 4) Clean and Efficient Transportation
- 5) Conservation of Forest and Wetland Ecosystems

For each of these five goals, task forces have been established. Each task force, consisting of the relevant U.S. and Chinese agencies, is working on developing an action plan for each goal. These task forces are jointly managed by the Department or Agency on the U.S. side or the Ministry on the Chinese side with the most direct technical expertise in the subject matter of the particular goal. The lead agency on each side is responsible for coordinating all agencies on its side with a stake in the goal.

To date, the Clean Water Action Plan is completed and cleared by both the United States and Chinese Governments. The other four action plans are being negotiated and will be presented in final form at the SED V meeting the first week of December in Beijing. In addition to these five goals, it is anticipated that a six goal, energy efficiency, will be announced at the SED V meeting in Beijing. These goals are designed to be flexible to sustain changes in policy and technology advancement. The action plans are not binding documents, but rather organic mechanisms aimed at prioritizing U.S. - China cooperation in each area. Both countries recognize that the action plans will change over time.

A Joint Steering Committee has been established with the Secretary of the Treasury and the Vice Premier of China serving as co-chairs. There are seven participating cabinet agencies for the United States, including the Departments of the Treasury, State, Commerce, Agriculture, Transportation, and Energy, the Environmental Protection Agency and the U.S. Technical Assistance Agency. There are seven participating agencies for China, including the National Development and Reform Commission, State Forestry Administration, National Energy Administration, and the Ministries of Finance, Environmental Protection, Science and Technology and Foreign Affairs. Additional agencies can be added by the United States and China as appropriate. The Steering Group meets every six months, or at each SED. The

Assistant Secretary level (lead by an Under Secretary level official) Joint Working Group representatives meet at least once between the Steering Group meetings.

EcoPartnerships

Over the last few months, the two countries have been actively developing the EcoPartnerships concept outline at SED IV. The aim of these partnerships is to develop new models for economic sustainability, energy security, and environmental sustainability in the United States and China. Recognizing that in both countries, local entities have often been laboratories for new and innovative policy initiatives, EcoPartnerships are meant to leverage the accomplishments of the TYF taskforces by providing opportunities to test and demonstrate policies, technologies, and new approaches at sub-national levels. EcoPartnerships are also intended to facilitate innovations that may include development, commercialization and deployment of energy and environmental technologies. The EcoPartnership Framework and approximately 3 to 5 EcoPartnerships between companies, universities and municipalities will be introduced at the SED V meeting in Beijing where they will sign Statements of Intent. On the U.S. side, EcoPartnerships must be entirely voluntary and be able to clearly demonstrate benefits to the United States.

Critical Issues for the First Six Months

(b) (5)

OFFICE OF TAX POLICY

The Office of Tax Policy (OTP) assists the Secretary in developing and implementing tax policies and programs; provides the official estimates of all Government receipts for the President's budget, fiscal policy decisions, and Treasury cash management decisions; establishes policy criteria reflected in regulations and rulings and guides preparation of them with the Internal Revenue Service (IRS) to implement and administer the Internal Revenue Code; negotiates tax treaties for the United States and represents the United States in meetings and work of multilateral organizations dealing with tax policy matters; and provides economic and legal policy analysis for domestic and international tax policy decisions.

TAX COUNSELS

The Tax Legislative Counsel, International Tax Counsel, and Benefits Tax Counsel provide legal advice to OTP. In addition to the critical issues described below, the offices of the three tax counsels are actively involved in completion of an ambitious Priority Guidance Plan. This Plan is formulated each year in response to input from all interested parties, including taxpayers, tax practitioners, and industry groups. The Plan focuses resources at the Treasury Department and the IRS on the guidance most important to taxpayers and tax administration. The 2008–2009 Priority Guidance Plan contains 314 projects to be completed over a twelve-month period, from July 2008 through June 2009. The Plan is updated during the plan year (July 1 – June 30) to reflect additional guidance that will be published during the year. Items of particular importance on the Plan include updating the tax rules for “cost sharing agreements”, and other items discussed below.

Office of the Tax Legislative Counsel (TLC)

Office Overview. TLC develops and reviews policy, legislation, regulations, revenue rulings, revenue procedures, and other published guidance dealing with all aspects of domestic Federal tax law (other than employee benefits taxation matters handled by the Office of the Benefits Tax Counsel). TLC is responsible for advising the Assistant Secretary (Tax Policy) and other Treasury officials on the formulation of the Administration's domestic tax policy, for formulating, analyzing, and reviewing domestic tax legislation, and for preparing the Administration's testimony on such legislation. TLC assists Congressional staff in drafting legislation and in documenting the legislative history of domestic tax legislation. In consultation with IRS (Chief Counsel), TLC is responsible for review of all Treasury Regulations and IRS revenue rulings, revenue procedures, and other published guidance relating to domestic tax issues. Currently, TLC has 16 attorneys.

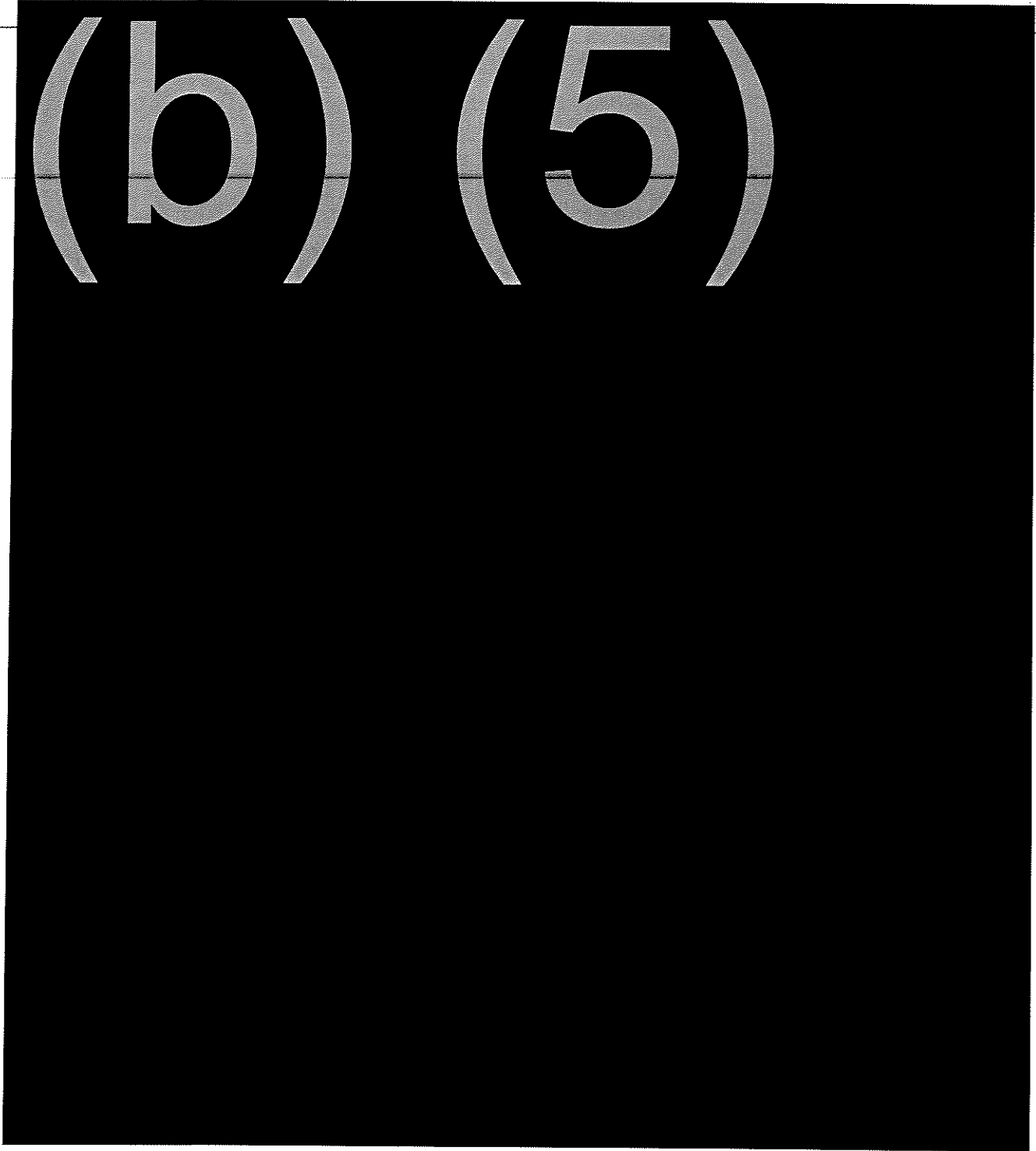
Key Biographies. The Acting TLC is Eric A. San Juan, who has been Deputy TLC (Tax Legislation) since 2006, after joining this Office in 2002. Previously, he served as an assistant professor of law at St. Louis University, an associate at Hale and Dorr, and a judicial clerk at the U.S. Tax Court. He is a graduate of Harvard University (J.D. 1991, A.B. 1987).

The Deputy TLC is John H. Parcell, who became Acting Deputy in 2001, and has been with this Office since 1987. Previously, he worked at IRS' Legislation and Regulations Division. He is a graduate of Georgetown University (LL.M. 1978, LL.B. 1975, B.A. 1969).

The Deputy TLC (Tax Regulation) is Jeffrey Van Hove, who joined this Office in 2008. Previously, he was a partner of Perkins Coie (Portland) and of Willkie Farr & Gallagher (N.Y.). He is a graduate of New York University (LL.M. 1999), Columbia Law School (J.D. 1994), and Yale College (B.A. 1990).

Critical Issues.

(b) (5)



(b) (5)

Office of Benefits Tax Counsel (BTC)

Office Overview. The Office of BTC develops and reviews policy, legislation, regulations, and revenue rulings dealing with all aspects of employee benefits taxation and related matters including qualified retirement plans, Employee Stock Ownership Plans, employee welfare plans, health and long term care benefits, social security taxes, and executive compensation. BTC is responsible for advising the Assistant Secretary (Tax Policy) and other Treasury officials in the formulation of the Administration's employee benefits taxation policy, including, formulating, analyzing, and reviewing employee benefits taxation legislation and for preparing the Administration's testimony on such legislation. BTC assists Congressional staff in drafting legislation and in documenting the legislative history of employee benefits legislation. In consultation with IRS, BTC is responsible for review of all Treasury regulations and IRS revenue rulings relating to the taxation of employee benefits. Such regulations and rulings play a crucial role in the development of tax policy and implementation of tax law. Currently, BTC has five attorneys and works closely with the Government Actuary, who is technically part of the office of the Assistant Secretary (Tax Policy).

Key Biographies: Thomas Reeder is the Benefits Tax Counsel. Prior to joining Treasury as an attorney advisor in 2000, Mr. Reeder was a Washington partner in the employee benefits practice group of Paul, Hastings, Janofsky & Walker. He is a graduate of the University of Texas at Austin, including the College of Liberal Arts (1972), Graduate School of Business (1982) and School of Law (1987).

Helen Morrison is the Acting Deputy Benefits Tax Counsel. Prior to joining the Treasury Department in 2006, Ms. Morrison was a Partner and the Employee Benefit Practice Leader in the Chicago office of Deloitte LLP, and prior to that a Partner in Employee Benefits Practice of McDermott, Will & Emery. Ms. Morrison received her B.A. from Trinity College (1979) and her J.D., *cum laude*, from Illinois Institute of Technology/Chicago-Kent College of Law (1985). She served as a law clerk to the Honorable Hector M. Laffitte of the U.S. District Court in San Juan, Puerto Rico, from 1985 to 1987.

(b) (5)

International Tax Counsel

Office Overview. The Office of the International Tax Counsel (ITC) develops and reviews policy, legislation, regulations, revenue rulings, revenue procedures, and other published guidance dealing with the international aspects of U.S. and foreign tax rules. In addition, the office is responsible for negotiating and reviewing income tax and estate and gift tax treaties with foreign countries and coordinating tax treaty matters with the State Department and the Congress. ITC attorneys develop international tax legislation proposals, review and assess all international tax bills, prepare background information, produce testimony for Treasury officials, and coordinate with Congressional staffs and other agencies on matters related to U.S. international tax policy.

The ITC staff works closely with the Business and International Taxation Division of the Office of Tax Analysis in the preparation of detailed technical analyses and the publication of Congressionally mandated reports on various international tax issues. ITC works with the IRS in designing and finalizing regulations to implement international tax aspects of Congressional acts. ITC attorneys serve as the official representative of the United States in various international

organizations such as the Organisation for Economic Cooperation and Development. The office has a Deputy International Tax Counsel, an Associate International Tax Counsel, a Senior Counsel, four attorney-advisors, a taxation specialist, and two administrative assistants, all of whom report directly to the International Tax Counsel. An additional Deputy International Tax Counsel position is currently vacant.

Key Biographies. John Harrington is the International Tax Counsel. Prior to joining the Treasury Department in 2001, he was a Tax Counsel on the Ways and Means Committee staff for 11 years. He graduated with high honors from the University of Florida with a B.S. in Psychology (1984) and received a J.D. from the Columbia University School of Law (1987). He worked as an associate at the Washington law firm of Steptoe and Johnson from 1987 to 1990.

Gretchen Sierra is the Deputy International Tax Counsel. Prior to joining the Treasury Department in 2005, she was a Legislation Counsel on the Joint Committee on Taxation staff for 2 years and an associate at Skadden, Arps, Meagher and Flom, LLP. She graduated with honors and distinction from the University of Iowa with a B.A. in Comparative Literature (1994) and received a J.D. with high distinction from the University of Iowa College of Law (1999).

Critical Issues.

(b) (5)

OFFICE OF TAX ANALYSIS (OTA)

Office Overview. OTA advises and assists the Assistant Secretary (Tax Policy) and his deputies in the development, analysis, and implementation of tax policies and programs. The Office provides economic and policy analyses leading to development of the Administration's tax proposals and also assesses major Congressional tax proposals.

OTA analyzes the effects of the existing tax law and alternative tax programs and prepares a variety of background papers, position papers, policy memoranda, and analytical reports on economic aspects of domestic and international tax policy. OTA is responsible for official Administration estimates of all Federal receipts included in the President's Budget and Mid-Session Review, and revenue estimates for actual and proposed tax legislation, earmarked revenue allocated to various trust funds, Treasury cash management decisions, and the Tax Expenditure Budget. OTA staff also engages in tax treaty negotiations with foreign governments and participate in meetings of international organizations.

OTA develops and operates several major microsimulation models and maintains large statistical databases to analyze the economic, distributional, and revenue effects of alternative tax proposals and tax systems. Many of the large microdata files used in OTA's models are developed from samples of tax returns prepared by the IRS Statistics of Income Division under the Office's direction.

OTA helps implement the administration of tax provisions by assisting the IRS in developing studies of tax compliance and taxpayer compliance burdens, developing and revising tax forms and, working with the Tax legislative Counsel, International Tax Counsel, and Benefits Tax Counsels staffs formulating and reviewing tax regulations.

OTA is divided into five divisions: the Business and International Taxation Division, the Economic Modeling and Computer Applications Division, the Individual Taxation Division, the Revenue-Estimating Division, and the Receipts Forecasting Division.

Currently, OTA has 44 economists, most with PhDs.

Key Personnel. James B. Mackie III is the Director of the Office of Tax Analysis. He has been with OTA since 1985. He is a graduate of the University of Virginia (PhD 1986).

Geraldine Gerardi is the Director of the Business and International Taxation Division. She came to OTA in 1974, and, after stints at other federal agencies, has remained at OTA since 1983. She is a graduate of American University (PhD 1976).

Robert Gillette is the Director of the Economic Modeling and Computer Applications Division. He has been at OTA since 1985. He is a graduate of the University of Maryland (PhD 1985).

John McClelland is the Director of the Revenue Estimating Division. He has been at OTA since 1997. He is a graduate of the University of Maryland (PhD 1997).

J. Scott Jaquette is the Director of the Receipts Forecasting Division. He has been at OTA since 1994. He is a graduate of the University of Michigan (MPP 1994).

Business and International Taxation Division

The Business and International Taxation Division develops and analyzes tax policies affecting businesses and international taxation. The Division provides economic analyses and conducts research on tax provisions affecting corporations, partnerships and other unincorporated businesses, financial institutions and products, and energy and the environment, including taxes on income, consumption, and capital income, and business excise taxes. In recent years, the Division has devoted substantial attention to analyzing corporate tax shelters, depreciation allowances, integration of corporate and personal income taxes, and options to simplify and reform business taxation. The Division also analyzes and researches the taxation of both income earned outside the United States by U.S. citizens, residents, and domestic corporations and income earned within the United States by foreign corporations and nonresidents. Along with the Office of the International Tax Counsel, the Division engages in tax treaty negotiations with foreign governments and participates in meetings of international organizations. The Division works closely with the Office of the Tax Legislative Counsel to develop legislative proposals and regulations.

Economic Modeling and Computer Applications Division

The Economic Modeling and Computer Applications Division develops and maintains several major simulation models which are used to provide estimates and analyses of changes in current or proposed tax legislation. Currently, there are five major production modeling systems: the individual income tax model, the corporate tax model, the corporate panel model, the depreciation model, and the estate tax model. Other specialized modeling systems include the corporate receipts model, the banking model, the life insurance calculator, the capital gains panel study, and the collation of estate and income tax returns. Results from these modeling systems are used in mandated studies, official testimony, the Federal budget, revenue estimates of Administration and Congressional policy proposals, and other economic analyses. Considerable time and effort is spent by the Division in developing new data sources and improving simulation methodologies to meet Office of Tax Policy needs.

Individual Taxation Division

The Individual Taxation Division develops policy proposals and provides analysis of the impact of existing and proposed individual income tax provisions on economic activity and welfare, marginal tax rates, and the distribution of the tax burden among families. Policy issues include the structure of tax rates, the tax treatment of different types of families, savings incentives, the tax treatment of pensions and health insurance, education incentives, tax-exempt bonds, and income tax compliance. The Division also is responsible for policy development and analysis of payroll taxes, excise taxes, estate and gift taxes, and nonprofit organizations.

Revenue Estimating Division

The Revenue Estimating Division estimates the revenue consequences of all the Administration's legislative tax proposals and major Congressional tax proposals. The revenue estimates are used to evaluate the tax proposals and to assist in determining Administration policy positions on the proposals. Because the staff is responsible for revenue estimates for

business, estate and gift, excise, individual and payroll tax proposals, they work closely with the other divisions in developing Treasury tax proposals or responding to Congressional proposals in these areas. The division also is responsible for estimates included in the Tax Expenditures section of the President's Budget.

Receipts Forecasting Division

The Receipts Forecasting Division provides the official Administration forecasts of all Federal tax and other receipts included in the President's Budget and Mid-Session Review.

Monthly receipts forecasts are provided to the Office of the Fiscal Assistant Secretary for use in determining the timing and size of government borrowing and for determining the amounts to be deposited into many federal trust funds. The division also produces estimates of revenue changes for certain tax proposals that are closely associated with receipts forecasts, such as forms of payment and trust fund management, including the highway excise taxes and the federal unemployment insurance taxes.

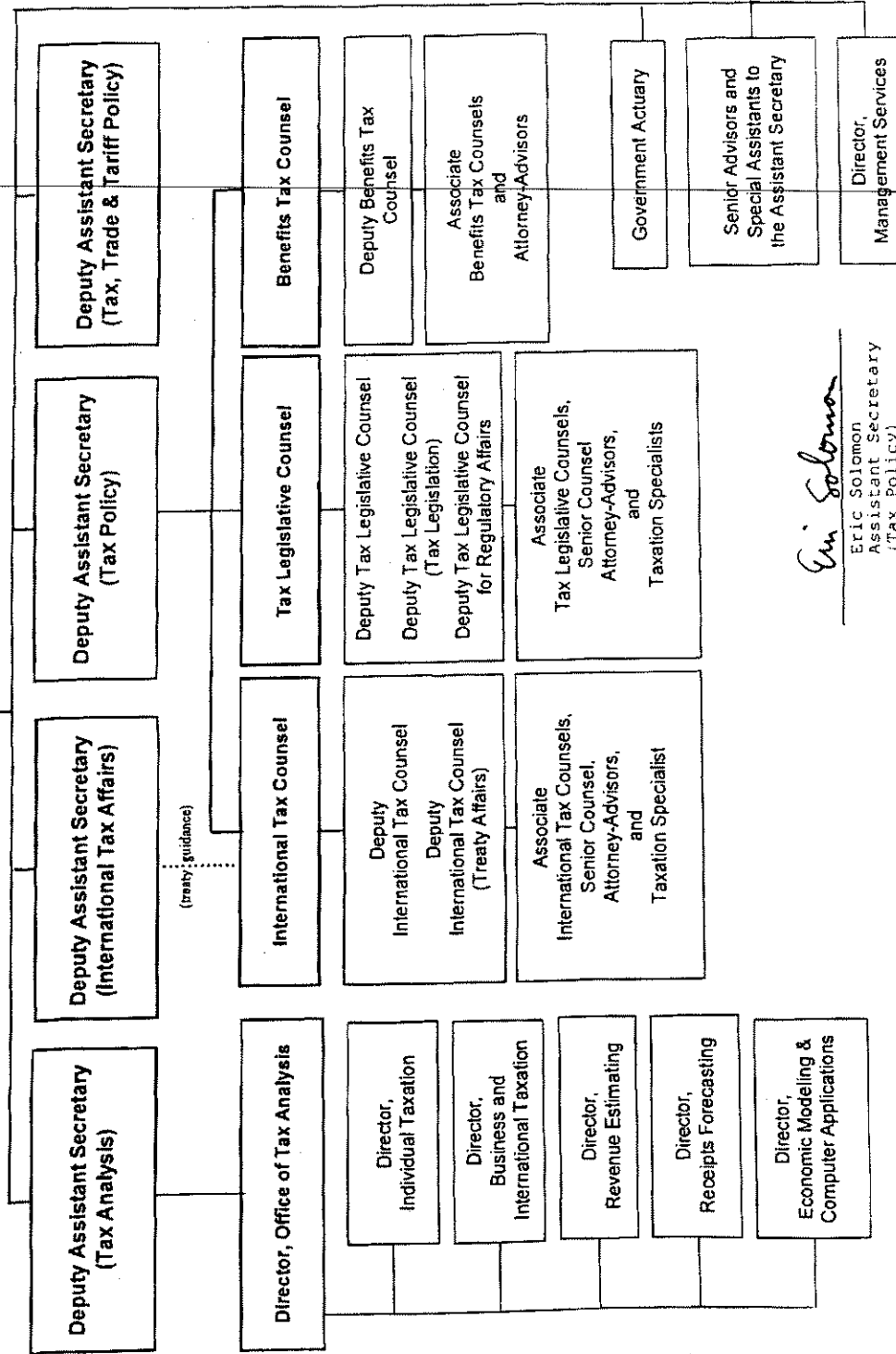
Critical Issues for OTA

(b) (5)

Organization Chart for the Office of Tax Policy

Assistant Secretary
(Tax Policy)

August 2008



Eric Solomon

Eric Solomon
Assistant Secretary
(Tax Policy)

Economic Policies and Programs - Economic Policy

| Dollars in Thousands | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{1/} | |
|---------------------------------|-----------------|-----------|-----------------|-----------|-----------------|------------|--|------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| Financial Policies and Programs | | | | | | | | |
| Tax Policy | 14,080 | 97 | 14,145 | 97 | 15,795 | 100 | 16,549 | 102 |
| Total | \$14,080 | 97 | \$14,145 | 97 | \$15,795 | 100 | \$16,549 | 102 |

1/ FY 2009 President's Budget does not represent approved FY 2009 operating levels

**Office of Terrorism and
Financial Intelligence**

The Office of Terrorism and Financial Intelligence (TFI)

Overview:

Treasury's Office of Terrorism and Financial Intelligence (TFI) was created in September 2004 to safeguard the financial system against illicit use and combat threats to U.S. national security. TFI plays an important role within the U.S. government on a wide range of national security issues, including counter-terrorism, counter-proliferation, and U.S. policy toward countries such as Iran, Syria, North Korea, Sudan, and Burma, among others. TFI looks at these issues with the understanding that certain asymmetric threats may not be susceptible to traditional pressure or deterrence but can be materially affected by targeting and disrupting their financial support lines.

Components of TFI:

Office of Terrorist Financing and Financial Crimes (TFFC)

As the policy development and outreach office for TFI, the Office of Terrorist Financing and Financial Crimes (TFFC) develops policies, initiatives and strategies to combat money laundering, terrorist financing, WMD proliferation, and other criminal and illicit activities both at home and abroad. TFFC works with the U.S. national security community, foreign governments, multilateral organizations, and the private sector.

Office of Intelligence and Analysis (OIA)

The Intelligence Authorization Act of Fiscal Year 2004 statutorily created the Office of Intelligence and Analysis (OIA), which is responsible for the receipt, analysis, collation, and dissemination of intelligence related to the operation and responsibilities of the Treasury Department. OIA provides expert analysis and intelligence production on financial and other support networks for key national security threats. OIA also is responsible for protecting the personnel, programs, and information of the Treasury Department from information security and counterintelligence threats.

The Office of Foreign Assets Control (OFAC)

The Office of Foreign Assets Control (OFAC) administers and enforces economic and trade sanctions based on U.S. foreign policy and national security goals against specific foreign countries and regimes, terrorists, weapons proliferators, and international narcotics traffickers, and other threats to the national security, foreign policy, or economy of the United States. OFAC acts under Presidential national emergency powers, as well as authority granted by specific legislation, to impose controls on transactions and freeze assets under U.S. jurisdiction.

Financial Crimes Enforcement Network (FinCEN)

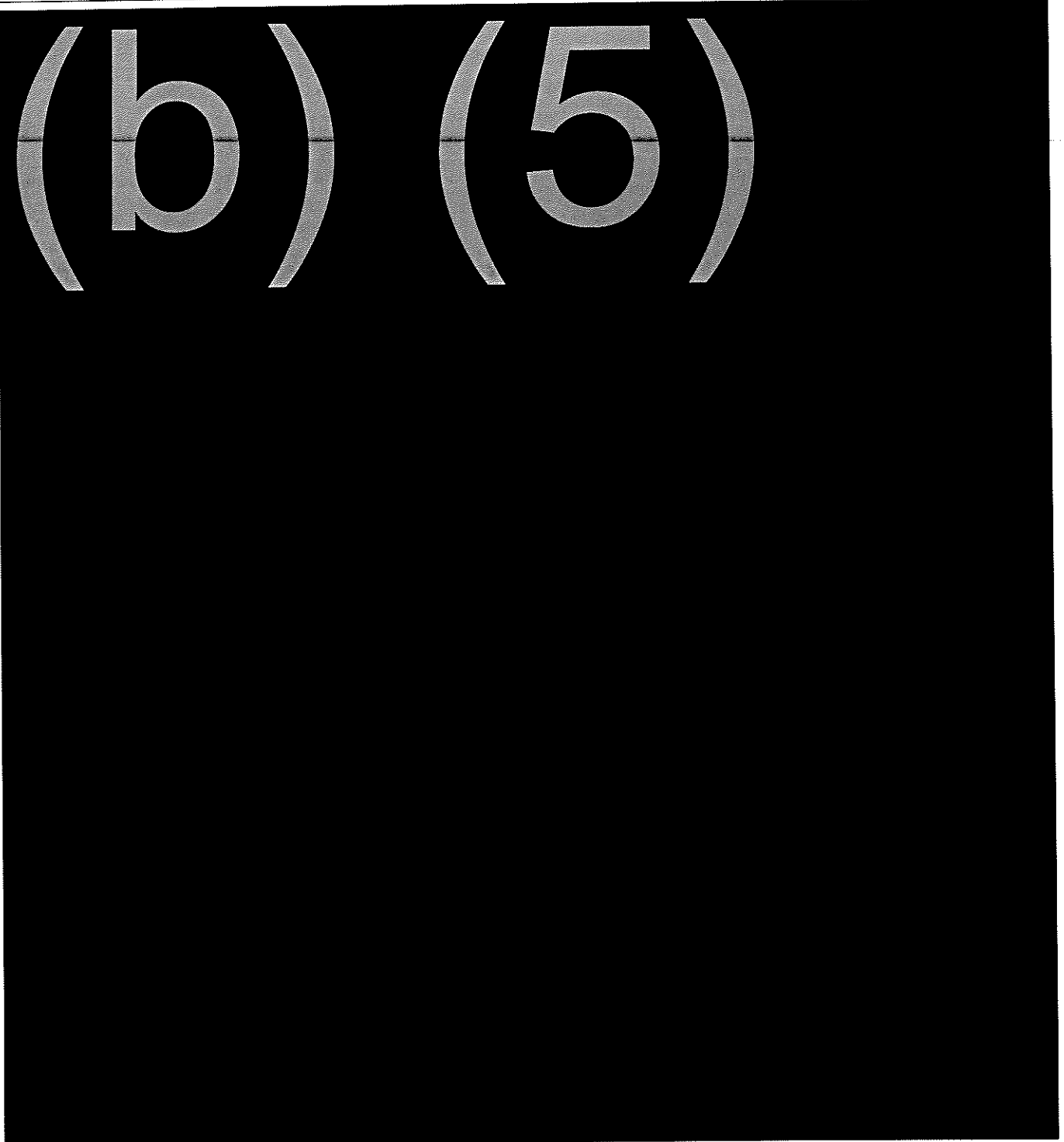
The mission of the Financial Crimes Enforcement Network, known as FinCEN, is to enhance U.S. national security, deter and detect criminal activity, and safeguard financial systems from abuse by promoting transparency in the U.S. and international financial systems. As the administrator of the Bank Secrecy Act (BSA), FinCEN regulates the financial industry for anti-money laundering/counterterrorist (AML/CFT) financing purposes, and collects, analyzes, and disseminates financial data in support of criminal, tax, regulatory, and counterterrorism investigations. As a bureau, FinCEN will also submit a separate briefing paper.

The Treasury Executive Office for Asset Forfeiture (TEOAF)

The Treasury Executive Office for Asset Forfeiture administers the Treasury Forfeiture Fund (TFF). Effective law enforcement actions against criminal enterprises, from drug cartels to terrorist organizations, require depriving those enterprises of their enabling assets and profits that support or stem from their existence. The TFF is derived from the forfeited assets of criminal enterprises. TEOAF promotes the use of forfeited proceeds to fund programs and activities aimed at disrupting and dismantling criminal infrastructures.

Critical Issues:

(b) (5)



Office of the Treasurer

Overview:

The United States Treasurer's principal duties include advising the Director of the Mint, the Director of the Bureau of Engraving and Printing, the Deputy Secretary and the Secretary on matters relating to coinage, currency and the production of other instruments by the United States. The Treasurer participates in the redesign and promotion of our nation's paper money to protect the integrity of our currency and to stop counterfeiting.

The Treasurer serves as one of the Treasury Department's principal advisors and spokespersons. One of the major areas of outreach is in financial literacy and education. Further, the Treasurer promotes the President's and the Secretary's economic agenda to ensure strong economic growth and works to encourage and assist the millions of unbanked Americans to join the financial mainstream.

Operating Budget:

Our initial operating budget for Fiscal Year 2008 was \$448,157.00.

Actual budget numbers were slightly higher as the number increased as the year progressed to accommodate unfunded requests. The Fiscal Year 2009 numbers are not yet available, and will not be available until the budget is passed.

On September 30, 2008, a Continuing Resolution (CR) was signed through March 6, 2009. While operating under the CR, we ensured there was no spending on new projects or initiatives. In addition, all non-essential spending, including non-essential travel, training, subscriptions, and supply purchases were delayed.

Personnel:

The Office of the Treasurer consists of four full time staff members. The United States Treasurer is at the top of this chart. Below the Treasurer is the Senior Advisor who serves as the Treasurer's main policy advisor. In addition, the Treasurer has a Scheduler/Special Assistant who is responsible for organizing the Treasurer's participation in events and coordinating all logistical aspects regarding the Treasurer's participation in speaking events. The Executive Assistant performs routine office work.

Immediate Action Items/Deadlines:

The Office of the Treasurer has no current projects which require immediate attention within the first 90 days.

Executive Direction - Treasurer

| Dollars in Thousands Executive Direction Treasurer | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{1/} | |
|--|--------|-----|--------|-----|---------|-----|---|-----|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| | 395 | 3 | 396 | 3 | 435 | 3 | 448 | 3 |
| Total | \$395 | 3 | \$396 | 3 | \$435 | 3 | \$448 | 3 |

1/ FY 2009 President's Budget does not represent approved FY 2009 operating levels

Office of the
White House Liaison

Office of the White House Liaison

Overview:

The Office of the White House Liaison (WHL) oversees the search, vetting, interviewing and hiring process of all political appointees including Presidential Appointments Senate confirmed (PAS), non-career Senior Executive Service (SES) and Schedule C positions.

The WHL office works in close consultation and coordination with the White House Presidential Personnel Office (PPO) on these appointments. The office is comprised of the White House Liaison and the Deputy White House Liaison.

The WHL also develops and distributes SES Commissions and Schedule C Appointment Certificates as well as coordinates departure photos with the Secretary and departing appointees. The WHL office is responsible for and oversees the Secretary's Honor Awards program for political appointees.

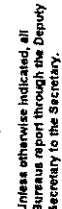
Critical Issues:

(b) (5)

Attachments:

Transition Checklist for Arrival
Treasury Organizational Chart
Appointee Count by PAS, SES, Schedule C and Department
Non-career SES List

Deputy Secretary



DEPARTMENT OF THE TREASURY
SCHEDULE C and DEVELOPMENT BANK
POLITICAL APPOINTEES

Office of the Executive Secretariat
Deputy Executive Secretary
Deputy Executive Secretary
Deputy Executive Secretary
Special Assistant

White House Fellow – Everett Spain

International Affairs
Senior Advisors to the
U/S and A/S for
International Affairs are
currently career.

Special Envoy for China
Special Advisor
Executive Assistant

Senior Advisor to A/S
Senior Speechwriter
Senior Advisor,
Public Liaison
Special Advisor,
Public Liaison
Director of
Public Affairs
Public Affairs Specialist
Public Affairs Specialist
Public Affairs Specialist
Media Coordinator
Policy Advisor to the
Secretary

Senior Advisor to A/S

Special Advisor

Senior Advisor to
U/S & COS

Senior Advisor to
U/S

Senior Advisor to
A/S (TF)

Senior Advisor

Senior Advisor to U/S
Senior Advisor to
A/S Financial Markets
Senior Advisors to A/S
Financial Institutions
Special Assistant
Director of Outreach,
Financial Education
Program Coordinator,
Financial Education

Senior Advisor
Special Assistant
to A/S

Deputy Chief of Staff
Director of Leg. Affairs
Special Assistant for
Leg. Affairs
Special Assistant to
Director

| | |
|---------------------|----------------------|
| Deborah Vance-Smith | Term Expires 9/4/10 |
| Robert Tobles | Term Expires 9/14/10 |
| Paul Cherevich | Term Expires 9/14/09 |
| Raymond T. Wegner | Term Expires 9/14/08 |
| E. Edwin Eck | Term Expires 9/14/13 |
| Vacant | Term Expires 9/14/10 |
| Vacant | Term Expires 9/14/10 |

Note: 5 year term appointment and an individual is held over until there is a new appointment. The Secretary of the Treasury and Commissioner of Internal Revenue also sit on this Board.

Development Banks

International Monetary Fund
* Executive Director- Margrethe Lundsgaard * Alt. Executive Director- Daniel Heath

World Bank
Executive Director- Whitney Debevoise II * Alt. Executive Director- Ana Guevara

International American Development Bank
* Executive Director- Miguel San Juan * Alt. Executive Director

African Development Bank
* Executive Director- Mimi Amentayehu

Asian Development Bank
Executive Director **Alt. Executive Director

European Bank for Reconstruction and Development
Executive Director

The bank Executive Directors report through the AS's initial Financial Markets & Investment Policy

Executive Director
The bank Executive Directors report through the A/S Int'l Financial Markets & Investment Policy

APPOINTEE COUNT

| OFFICE | TITLE | | |
|-----------------------|--|------------------|-----------|
| Secretary | Secretary | PAS | 1 |
| Deputy Secretary | Deputy Secretary | PAS | 1 |
| International Affairs | Under Secretary, IA | PAS | 1 |
| TFI | Under Secretary, TFI | PAS | 1 |
| Domestic Finance | Under Secretary, Domestic Finance | PAS | 1 |
| Domestic Finance | Assistant Secretary, Financial Markets | PAS | 1 |
| Domestic Finance | Assistant Secretary, Financial Institutions | PAS | 1 |
| Domestic Finance | Assistant Secretary, Financial Stability | PAS | 1 |
| General Counsel | General Counsel | PAS | 1 |
| Treasurer | Treasurer | PAS | 1 |
| Public Affairs | Assistant Secretary, Public Affairs & Director of Policy Planning | PAS | 1 |
| Legislative Affairs | Assistant Secretary, Legislative Affairs | PAS | 1 |
| Management | Assistant Secretary and CFO | PAS | 1 |
| Economic Policy | Assistant Secretary, Economic Policy | PAS | 1 |
| International Affairs | Assistant Secretary, International Financial Markets & Investment Policy | PAS | 1 |
| International Affairs | Assistant Secretary, International Economics & Development | PAS | 1 |
| TFI | Assistant Secretary, Intelligence and Analysis | PAS | 1 |
| TFI | Assistant Secretary, Terrorist Financing | PAS | 1 |
| Tax Policy | Assistant Secretary, Tax Policy | PAS | 1 |
| OIG | Inspector General | PAS | 1 |
| OIG | Inspector General, Office of Financial Stability | PAS | 1 |
| TIGTA | Inspector General | PAS | 1 |
| IRS | Commissioner | PAS | 1 |
| IRS | Chief Counsel | PAS | 1 |
| OCC | Comptroller of the Currency | PAS | 1 |
| OTS | Director | PAS | 1 |
| U.S. Mint | Director | PAS | 1 |
| Int'l Affairs - Bank | U.S. Executive Director - IMF | PAS | 1 |
| Int'l Affairs - Bank | U.S. Executive Director - WB | PAS | 1 |
| Int'l Affairs - Bank | U.S. Executive Director - IADB | PAS | 1 |
| Int'l Affairs - Bank | U.S. Executive Director - Asia | PAS | 1 |
| Int'l Affairs - Bank | U.S. Executive Director - Africa | PAS | 1 |
| Int'l Affairs - Bank | U.S. Executive Director - Eurpoe | PAS | 1 |
| Int'l Affairs - Bank | Alternate U.S. Executive Director - IMF | PAS | 1 |
| Int'l Affairs - Bank | Alternate U.S. Executive Director - WB | PAS | 1 |
| Int'l Affairs - Bank | Alternate U.S. Executive Director - IADB | PAS | 1 |
| IRS Oversight Board | Chairman and Member | PAS | 1 |
| IRS Oversight Board | Member | PAS | 1 |
| IRS Oversight Board | Member | PAS | 1 |
| IRS Oversight Board | Member | PAS | 1 |
| IRS Oversight Board | Member | PAS | 1 |
| IRS Oversight Board | Member | PAS | 1 |
| IRS Oversight Board | Member | PAS | 1 |
| | | Total PAS | 43 |

APPOINTEE COUNT

| OFFICE | TITLE | | |
|-----------------------|---|-----|---|
| Chief of Staff | Special Envoy to China and Strategic Economic Dialogue | SES | 1 |
| Chief of Staff | White House Liaison | SES | 1 |
| Chief of Staff | Senior Advisor to the Secretary | SES | 1 |
| Chief of Staff | Deputy Chief of Staff, Executive Secretary | SES | 1 |
| Chief of Staff | Chief of Staff | SES | 1 |
| Chief of Staff | Chief of Staff to the Deputy Secretary | SES | 1 |
| International Affairs | DAS, Investment Security | SES | 1 |
| International Affairs | DAS, International Development Finance & Debt | SES | 1 |
| International Affairs | DAS, Trade and Investment | SES | 1 |
| International Affairs | DAS, Western Hemisphere | SES | 1 |
| Domestic Finance | DAS, Financial Institutions and GSE Policy | SES | 1 |
| Domestic Finance | DAS, Financial Education | SES | 1 |
| Domestic Finance | DAS, Critical Infrastructure Policy and Compliance Policy | SES | 1 |
| Domestic Finance | DAS, Government Financial Policy | SES | 1 |
| Domestic Finance | DAS, Federal Finance | SES | 1 |
| Economic Policy | DAS, Microeconomic Analysis | SES | 1 |
| Economic Policy | DAS, Macroeconomic Analysis | SES | 1 |
| Economic Policy | DAS, Policy Coordination | SES | 1 |
| General Counsel | Deputy General Counsel | SES | 1 |
| Legislative Affairs | DAS, International | SES | 1 |
| Legislative Affairs | DAS, Banking and Finance | SES | 1 |
| Legislative Affairs | DAS, Tax & Budget | SES | 1 |
| Legislative Affairs | DAS, Appropriations & Management | SES | 1 |
| Management | DAS, Management & Budget | SES | 1 |
| Public Affairs | DAS, Public Affairs | SES | 1 |
| Public Affairs | DAS, Public Liaison | SES | 1 |
| Tax Policy | DAS, Tax Analysis | SES | 1 |
| Tax Policy | DAS, Tax Policy | SES | 1 |

| OFFICE | TITLE | Total SES | 28 |
|------------------|--|-----------|----|
| Secretary | Director of Scheduling | SKC | 1 |
| Chief of Staff | Deputy Scheduler | SKC | 1 |
| Deputy Secretary | Executive Assistant | SKC | 1 |
| Chief of Staff | Deputy White House Liaison | SKC | 1 |
| Chief of Staff | Director of Protocol | SKC | 1 |
| Chief of Staff | Deputy Executive Secretary | SKC | 1 |
| Chief of Staff | Deputy Executive Secretary | SKC | 1 |
| Chief of Staff | Deputy Executive Secretary | SKC | 1 |
| Chief of Staff | Special Assistant, Executive Secretary | SKC | 1 |
| Chief of Staff | Director of Operations | SKC | 1 |
| Chief of Staff | Operations Coordinator | SKC | 1 |
| Chief of Staff | Associate Director for Operations | SKC | 1 |
| Chief of Staff | Special Assistant for Advance | SKC | 1 |
| Chief of Staff | Special Assistant for Advance | SKC | 1 |
| Chief of Staff | Executive Assistant, SED | SKC | 1 |
| Chief of Staff | Special Advisor, SED | SKC | 1 |
| Domestic Finance | Director of Outreach (Financial Education) | SKC | 1 |

APPOINTEE COUNT

| | | | |
|---------------------|--|-----|-----------|
| Domestic Finance | Program Coordinator (Financial Education) | SKC | 1 |
| Domestic Finance | Senior Advisor to the Under Secretary | SKC | 1 |
| Domestic Finance | Special Assistant to U/S | SKC | 1 |
| Domestic Finance | Senior Advisor, Financial Institutions | SKC | 1 |
| Domestic Finance | Senior Advisor, Financial Markets | SKC | 1 |
| Economic Policy | Senior Advisor to AS | SKC | 1 |
| Legislative Affairs | Special Assistant, Tax & Budget | SKC | 1 |
| Legislative Affairs | Special Assistant, Banking & Finance | SKC | 1 |
| Legislative Affairs | Special Assistant, International | SKC | 1 |
| Legislative Affairs | Special Assistant to the A/S | SKC | 1 |
| Legislative Affairs | Special Advisor | SKC | 1 |
| Legislative Affairs | Deputy to the A/S | SKC | 1 |
| Management | Special Assistant | SKC | 1 |
| Management | Senior Advisor | SKC | 1 |
| Public Affairs | Senior Speechwriter | SKC | 1 |
| Public Affairs | Sr. Advisor to the A/S | SKC | 1 |
| Public Affairs | Policy Advisor to the Secretary | SKC | 1 |
| Public Affairs | Sr. Advisor, Business Affairs & Public Liaison | SKC | 1 |
| Public Affairs | Special Advisor, Business Affairs & Public Liaison | SKC | 1 |
| Public Affairs | Director of Public Affairs | SKC | 1 |
| Public Affairs | Public Affairs Specialist | SKC | 1 |
| Public Affairs | Public Affairs Specialist | SKC | 1 |
| Public Affairs | Public Affairs Specialist | SKC | 1 |
| Public Affairs | Media Coordinator | SKC | 1 |
| Tax Policy | Senior Advisor | SKC | 1 |
| TFI | Senior Advisor and Chief of Staff to the U/S | SKC | 1 |
| TFI | Senior Advisor to the U/S | SKC | 1 |
| TFI | Senior Advisor to the Assistant Secretary (TF) | SKC | 1 |
| Treasurer | Senior Advisor | SKC | 1 |
| Treasurer | Special Advisor | SKC | 1 |
| U.S. Mint | Deputy Chief of Staff | SKC | 1 |
| U.S. Mint | Special Assistant to Director | SKC | 1 |
| U.S. Mint | Special Assistant to Director of Leg Affairs | SKC | 1 |
| U.S. Mint | Director of Leg. & Intergovernmental Affairs | SKC | 1 |
| Total SKC | | | 51 |

TOTAL APPOINTEE POSITIONS 122

Department of the Treasury - Non-Career SES

| | | |
|-------------------------------------|--|--------------------------|
| <u>Chief of Staff</u> | | <u>Total of 6</u> |
| 1 | Chief of Staff | |
| 2 | Deputy Chief of Staff/Executive Secretary | |
| 3 | White House Liaison | |
| 4 | Special Envoy for China and Strategic Economic Dialogue | |
| 5 | Chief of Staff to the Deputy Secretary | |
| 6 | Senior Advisor to the Secretary | |
| <u>General Counsel</u> | | <u>Total of 1</u> |
| 7 | Deputy General Counsel | |
| <u>International Affairs</u> | | <u>Total of 4</u> |
| 8 | Deputy Assistant Secretary (Trade & Investment Policy) | |
| 9 | Deputy Assistant Secretary (International Development Finance and Debut) | |
| 10 | Deputy Assistant Secretary (Investment Security) | |
| 11 | Deputy Assistant Secretary (Western Hemisphere) | |
| <u>Domestic Finance</u> | | <u>Total of 5</u> |
| 12 | Deputy Assistant Secretary (Critical Infrastructure and Compliance Policy) | |
| 13 | Deputy Assistant Secretary (Financial Institutions & GSE Policy) | |
| 14 | Deputy Assistant Secretary (Financial Education) | |
| 15 | Deputy Assistant Secretary (Government Financial Policy) | |
| 16 | Deputy Assistant Secretary (Federal Finance) | |
| <u>Legislative Affairs</u> | | <u>Total of 4</u> |
| 17 | Deputy Assistant Secretary (Tax & Budget) | |
| 18 | Deputy Assistant Secretary (International) | |
| 19 | Deputy Assistant Secretary (Banking & Finance) | |
| 20 | Deputy Assistant Secretary (Approps & Management) | |
| <u>Public Affairs</u> | | <u>Total of 2</u> |
| 21 | Deputy Assistant Secretary (Public Affairs) | |
| 22 | Deputy Assistant Secretary (Public Liaison) | |
| <u>Economic Policy</u> | | <u>Total of 3</u> |
| 23 | Deputy Assistant Secretary (Microeconomic Analysis) | |
| 24 | Deputy Assistant Secretary (Macroeconomic Analysis) | |
| 25 | Deputy Assistant Secretary (Policy Coordination) | |
| <u>Tax Policy</u> | | <u>Total of 2</u> |
| 26 | Deputy Assistant Secretary (Tax Policy) | |
| 27 | Deputy Assistant Secretary (Tax Analysis) | |
| <u>Management/CFO</u> | | <u>Total of 1</u> |
| 28 | Deputy Assistant Secretary (Management and Budget) | |

Alcohol and Tobacco Tax and Trade Bureau (TTB)

Overview:

TTB collects certain excise taxes (alcohol, tobacco, firearms) and protects the public by ensuring that alcohol beverages are produced, labeled, advertised, and marketed in accordance with Federal law. TTB was created within the Department of the Treasury in 2003 as a result of the Homeland Security Act of 2002, when firearms and explosives functions of the former Treasury Bureau of Alcohol, Tobacco and Firearms were transferred to the Justice Department.

TTB collects nearly \$15 billion in annual Federal excise tax revenues. The excise taxes collected by TTB come from more than 10,000 businesses. Members of the regulated industries paying excise taxes are distilleries, breweries, bonded wineries, bonded wine cellars, alcohol fuel plants, manufacturers of cigarette papers and tubes, manufacturers of tobacco products, and manufacturers and importers of firearms and ammunition. We note that the excise tax on these imported products (except for firearms and ammunition) is collected by Customs and Border Protection.

In FY 2007, 49 percent of the taxes TTB collected were on alcohol, 49 percent on tobacco and two percent on firearms and ammunition. The alcohol and tobacco taxes we collect are remitted to the Treasury General Fund. The firearms and ammunition excise taxes we collect are remitted to the Fish and Wildlife Restoration Fund under provisions of the Pittman-Robertson Act of 1937.

The following table displays the amount of Federal excise taxes TTB collected from FY 2003 through FY 2007 by revenue type.

| Revenue Type | FY 2003 | FY 2004 | FY 2005 | FY 2006 | FY 2007 |
|-----------------------------|------------------|------------------|------------------|------------------|------------------|
| Alcohol | \$6,910,631,000 | \$6,995,366,000 | \$7,074,076,000 | \$7,182,940,000 | \$7,232,138,000 |
| Tobacco | \$7,382,435,000 | \$7,434,211,000 | \$7,409,758,000 | \$7,350,842,000 | \$7,194,113,000 |
| Firearms Ammunition Mfg | \$193,414,000 | \$216,006,000 | \$225,818,000 | \$249,578,000 | \$287,835,000 |
| Special Occupational Taxes* | \$103,781,000 | \$100,562,000 | \$10,190,000 | \$2,895,000 | \$2,808,000 |
| TOTALS | \$14,590,261,000 | \$14,746,145,000 | \$14,719,842,000 | \$14,786,255,000 | \$14,716,894,000 |

*Special Occupational Taxes (SOT) were suspended on most alcohol taxpayers, effective July 1, 2005, and repealed for all alcohol taxpayers effective July 1, 2008.

In 2007, TTB collected \$323 of revenue for every dollar spent to administer its tax-collection operation. TTB attributes this success to its good working relationship with industry members as well as its lean administrative overhead. In 2005, TTB underwent a Program Assessment and Review Tool (PART) review by the Office of Management and Budget and received an effective rating for its Collect the Revenue Program.

Key to collecting all the revenue rightfully due is an active field presence. TTB maintains 17 field offices that perform auditing, investigative, and analytical work to ensure the fair and uniform enforcement of all applicable laws and regulations, to identify gaps in tax payment, and to identify any individuals operating illegally.

In addition to the collection of excise tax, TTB administers cover-over payments to Puerto Rico and the Virgin Islands, and processes excise tax drawback claims. Federal excise taxes collected on articles produced in Puerto Rico and the Virgin Islands and subsequently transported and sold in the United States are "covered-over" (or paid) into the treasuries of Puerto Rico and the Virgin Islands. In FY 2007, TTB processed \$459 million in cover-over payments from rum to Puerto Rico and \$8 million to the Virgin Islands. Also, under current law, persons who use non-beverage alcohol in the manufacture of medicines, food products, flavors, extracts, or perfume and other non-potable products may be eligible to claim drawback of most of the excise taxes paid on distilled spirits used in their products. In FY 2007, TTB processed \$332 million in such drawback claims.

The financial resources to support TTB core business activities under the FY 2009 President's Budget are \$99,768,000, including \$96,900,000 from direct appropriations and an estimate of \$2,868,000 in offsetting collections, mainly from the Puerto Rico cover-over program.

The Federal laws TTB Administers are Chapters 51 and 52, and sections 4181 and 4182 of the Internal Revenue Code of 1986 (IRC), as well as the Federal Alcohol Administration (FAA) Act and the Webb-Kenyon Act. Under these authorities, TTB is chiefly responsible for: (1) collecting alcohol, tobacco, firearms, and ammunition excise taxes, and classifying alcohol and tobacco products for excise tax purposes; (2) reviewing applications and issuing permits for distilled spirits and wine operations and for tobacco product manufacturing, warehousing, importing and exporting operations; (3) regulating the production, packaging, and storage of alcohol and tobacco products; and (4) ensuring that the labeling and advertising of alcohol beverages are not misleading and provide adequate information to the consumer.

(b) (5)

(b) (5)

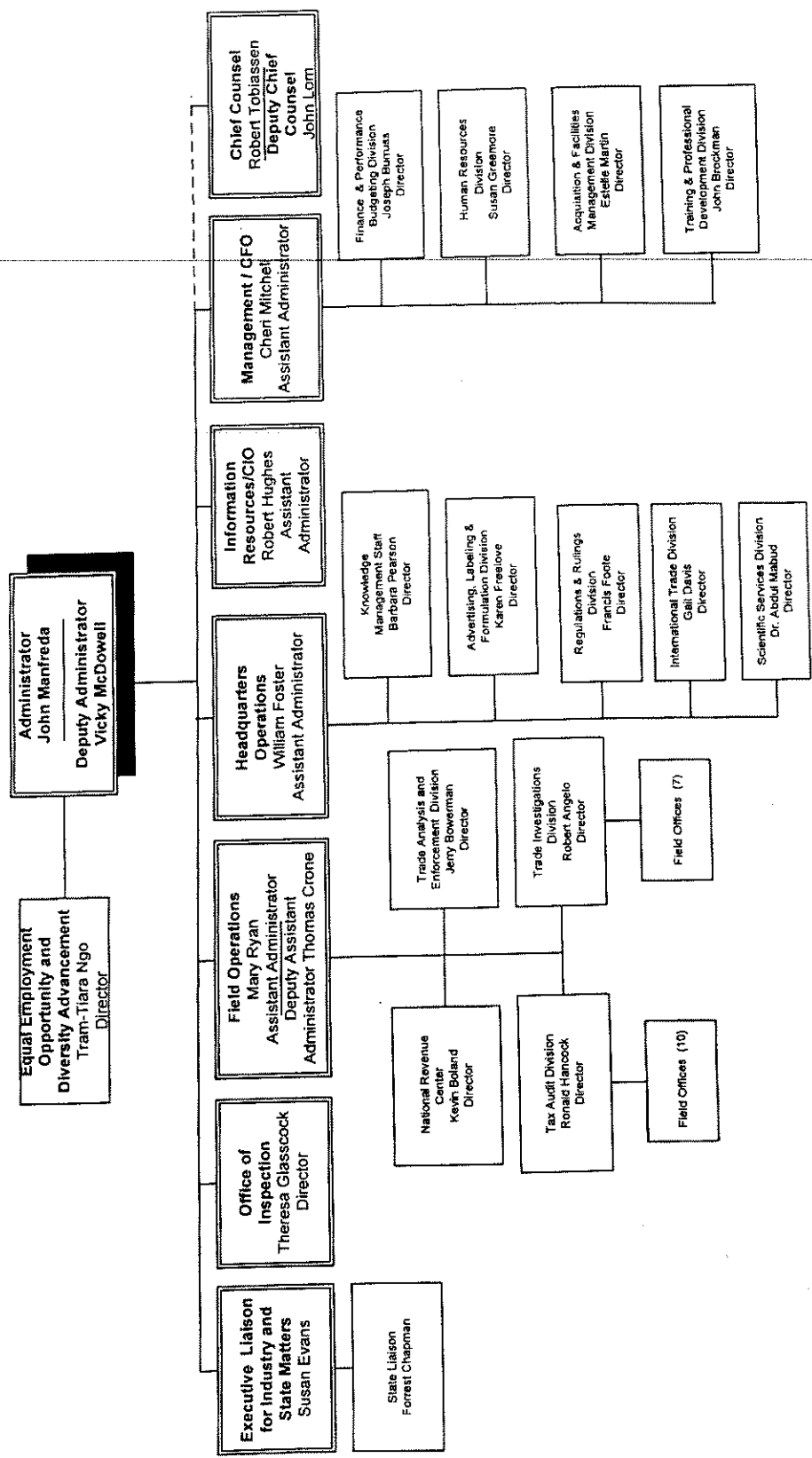
TTB reports to the Deputy Assistant Secretary for Tax, Trade, and Tariff Policy in the Office of Tax Policy.

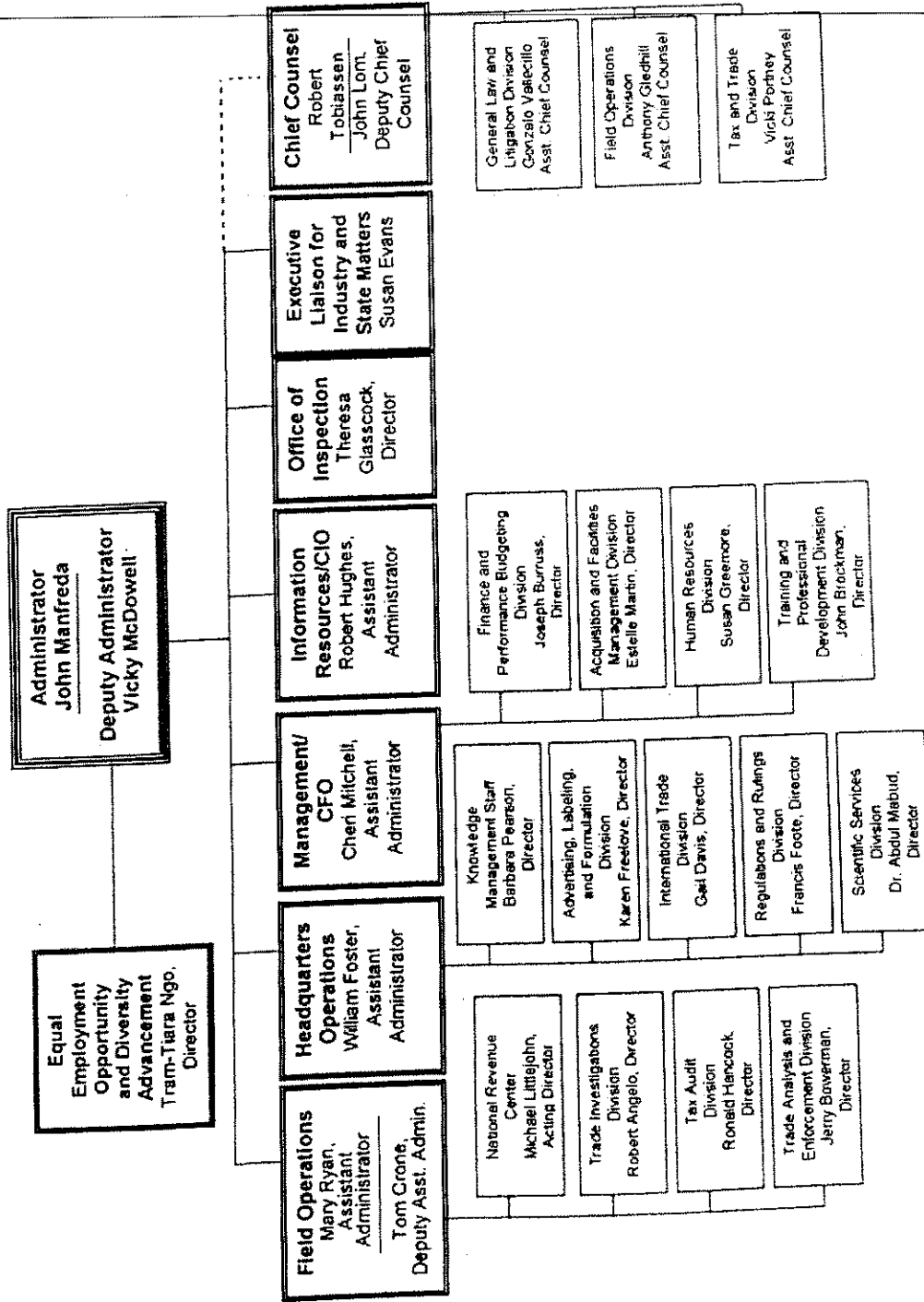
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graph TD
    Admin[Administrator  
John Manfreda  
Deputy Administrator  
Vicky McDowell] --> Equal[Equal Employment  
Opportunity and  
Diversity Advancement  
Tram-Tiara Ngo  
Director]
    Admin --> Liaison[Executive Liaison  
for Industry and  
State Matters  
Susan Evans]
    Admin --> Inspection[Office of  
Inspection  
Theresa Glasscock  
Director]
    Admin --> Ops[Field Operations  
Mary Ryan  
Assistant Administrator  
Deputy Assistant  
Administrator Thomas Crone]
    Admin --> HQ[Headquarters  
Operations  
William Foster  
Assistant Administrator]
    Admin --> Info[Information  
Resources/CIO  
Robert Hughes  
Assistant  
Administrator]
    Admin --> Mgt[Management / CFO  
Chen Mitchell  
Assistant Administrator]
    Admin --> Counsel[Chief Counsel  
Robert Toblissen  
Deputy Chief  
Counsel  
John Lam]
    Liaison --> State[State Liaison  
Forrest Chapman]
    Ops --> Trade[Trade Analysis and  
Enforcement Division  
Jerry Bowdeman  
Director]
    Ops --> Tax[Tax Audit Division  
Ronald Hancock  
Director]
    Ops --> Inv[Trade Investigations  
Division  
Robert Angelo  
Director]
    Ops --> FieldOps[Field Offices (10)]
    Trade --> Revenue[National Revenue  
Center  
Kevin Boland  
Director]
    Trade --> InvDiv[Regulations & Rulings  
Division  
Francis Foote  
Director]
    Trade --> IntTrade[International Trade Division  
Gail Davis  
Director]
    Trade --> SciServ[Scientific Services Division  
Dr. Abdul Mabud  
Director]
    InvDiv --> Knowledge[Knowledge  
Management Staff  
Barbara Pearson  
Director]
    InvDiv --> AdLab[Advertising, Labeling &  
Formulation Division  
Karen Freese  
Director]
    InvDiv --> RegR[Regulations & Rulings  
Division  
Francis Foote  
Director]
    InvDiv --> IntTradeDiv[International Trade Division  
Gail Davis  
Director]
    InvDiv --> SciServDiv[Scientific Services Division  
Dr. Abdul Mabud  
Director]
    Tax --> FieldTax[Field Offices (7)]
    Inv --> FieldInv[Field Offices (7)]
    
```

The organizational chart for the U.S. Customs Service is structured as follows:

- Administrator:** John Manfreda
 - Deputy Administrator:** Vicky McDowell
 - Equal Employment Opportunity and Diversity Advancement:** Tram-Tiara Ngo, Director
 - Executive Liaison for Industry and State Matters:** Susan Evans
 - State Liaison:** Forrest Chapman
 - Office of Inspection:** Theresa Glasscock, Director
 - Field Operations:** Mary Ryan, Assistant Administrator; Deputy Assistant Administrator Thomas Crone
 - Trade Analysis and Enforcement Division:** Jerry Bowdeman, Director
 - National Revenue Center:** Kevin Boland, Director
 - Tax Audit Division:** Ronald Hancock, Director
 - Field Offices:** (10)
 - Trade Investigations Division:** Robert Angelo, Director
 - Field Offices:** (7)
 - Headquarters Operations:** William Foster, Assistant Administrator
 - Knowledge Management Staff:** Barbara Pearson, Director
 - Advertising, Labeling & Formulation Division:** Karen Freese, Director
 - Regulations & Rulings Division:** Francis Foote, Director
 - International Trade Division:** Gail Davis, Director
 - Scientific Services Division:** Dr. Abdul Mabud, Director
 - Information Resources/CIO:** Robert Hughes, Assistant Administrator
 - Management / CFO:** Chen Mitchell, Assistant Administrator
 - Chief Counsel:** Robert Toblissen
 - Deputy Chief Counsel:** John Lam
 - Finance & Performance Budgeting Division:** Joseph Bunua, Director
 - Human Resources Division:** Susan Greenmore, Director
 - Acquisition & Facilities Management Division:** Estelle Martin, Director
 - Training & Professional Development Division:** John Brockman, Director





Alcohol and Tobacco Tax and Trade Bureau (TTB)

| Dollars in Thousands Alcohol & Tobacco Tax and Trade Bureau (TTB) | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{1/} | |
|--|----------|-----|----------|-----|----------|-----|---|-----|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| | 90,215 | 544 | 90,618 | 544 | 93,515 | 544 | 96,900 | 525 |
| TTB | | | | | | | | |
| Total | \$90,215 | 544 | \$90,618 | 544 | \$93,515 | 544 | \$96,900 | 525 |

1/ FY 2009 President's Budget does not represent approved FY 2009 operating levels

Bureau of Engraving and Printing

Overview:

The Bureau of Engraving and Printing (BEP) is the security printer for the United States. The BEP designs and manufactures Federal Reserve notes (U.S. paper currency) and also produces other types of security printing products such as passport documents on behalf of Federal agencies. The BEP operates from two locations: Washington, D.C. and Fort Worth, Texas. Each facility produces about 50% of the nation's currency. The BEP currently employs 2,000 workers, all of whom are career civil servants.

Operating Budget:

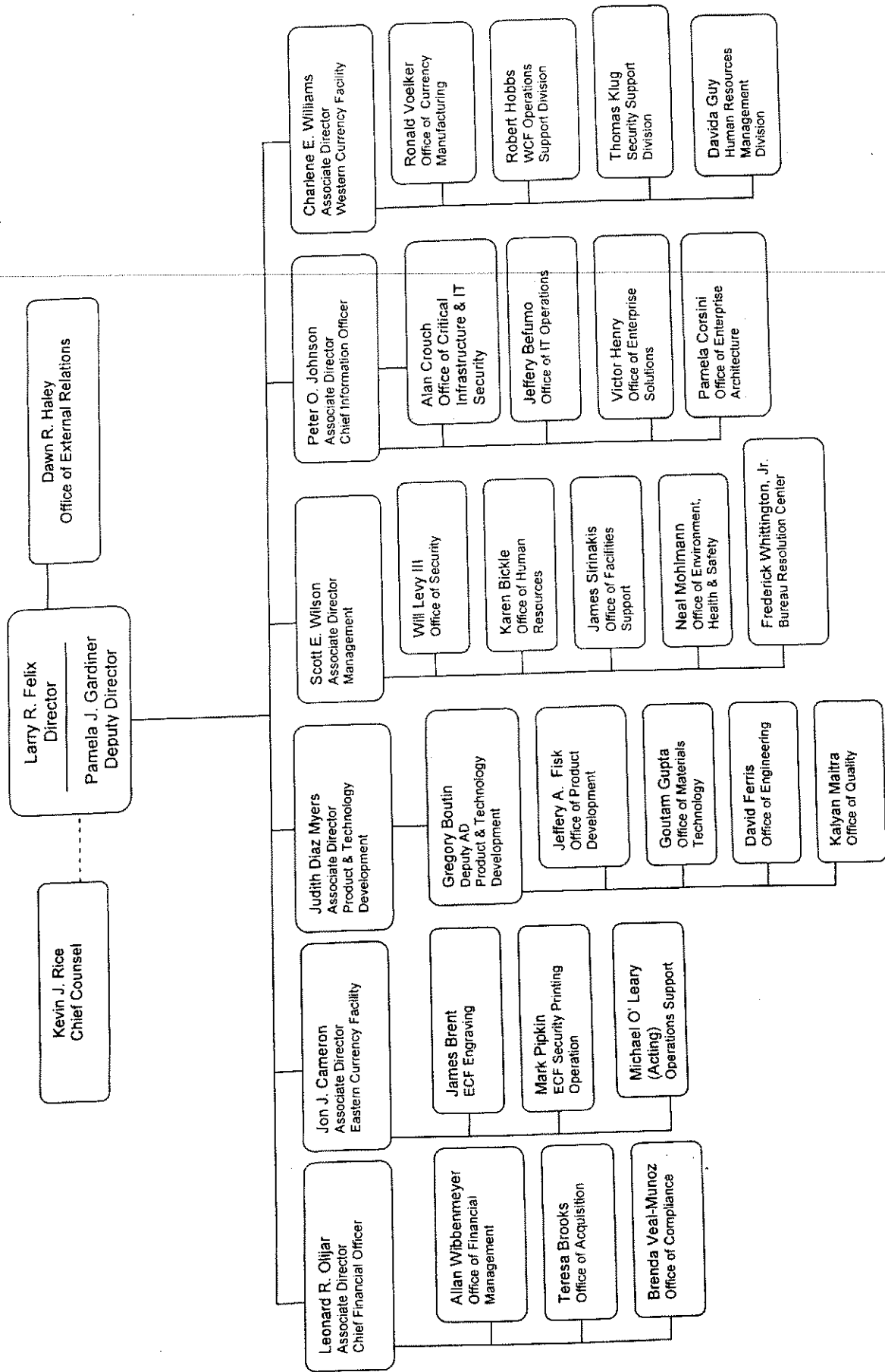
The Bureau's annual operating budget is roughly \$550 million. BEP operations are financed through an industrial revolving fund, meaning that the Bureau is directly reimbursed for its work by customers and does not receive annual appropriations from the Congress. By far, the Bureau's largest customer is the Federal Reserve System. During Fiscal Year 2008 the BEP manufactured more than 7 billion individual currency notes on behalf of our nation's central bank.

Critical Issues:

(b) (5)



BUREAU OF ENGRAVING & PRINTING ORGANIZATIONAL CHART – October 2008



Staff formerly under Production Management have been assigned to the CFO and ECF Directorates.

Bureau of Engraving and Printing (BEP)

| Dollars in Thousands ^{1/} Bureau of Engraving and Printing (BEP) | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget | |
|--|------------------|--------------|------------------|--------------|------------------|--------------|----------------------------|--------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| | 506,000 | 2,190 | 556,000 | 2,109 | 531,000 | 2,200 | 559,500 | 2,150 |
| Total | \$506,000 | 2,190 | \$556,000 | 2,109 | \$531,000 | 2,200 | \$559,500 | 2,150 |

1/ Non-Appropriated Account - Actuals in FY 2006, obligations in 2007, and estimates in FY 2008 and FY 2009.

Bureau of Public Debt

Overview:

The Bureau of the Public Debt (BPD) is part of the Treasury Fiscal Service under the supervision of the Fiscal Assistant Secretary. BPD borrows the money needed to operate the federal government and accounts for the resulting debt. BPD conducts auctions of Treasury securities (bills, notes, bonds and TIPS) on a regular and predictable schedule published by Treasury's Office of Debt Management. Cash management bills (CMBs), are auctioned on an unscheduled basis to cover temporary, unanticipated shortfalls. Treasury is increasing the offering amounts for regular auctions, issuing CMBs and issuing additional amounts of specific, previously issued Treasury securities (reopening) found to be in short supply to meet extraordinary borrowing requirements for programs authorized by the Emergency Economic Stabilization Act of 2008 and the Supplementary Financing Program that provides funding for the recently established credit and liquidity facilities of the Federal Reserve System.

Action Required:

None at this time.

(b) (5)

| Dollars in Thousands Bureau of Public Debt (BPD) ^{2/} | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{1/} | |
|---|-----------|-------|-----------|-------|-----------|-------|---|-------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| BPD | 178,154 | 1,390 | 178,854 | 1,390 | 182,871 | 1,371 | 187,054 | 1,371 |
| Total | \$178,154 | 1,390 | \$178,854 | 1,390 | \$182,871 | 1,371 | \$187,054 | 1,371 |

1/ FY 2009 President's Budget does not represent approved FY 2009 operating levels

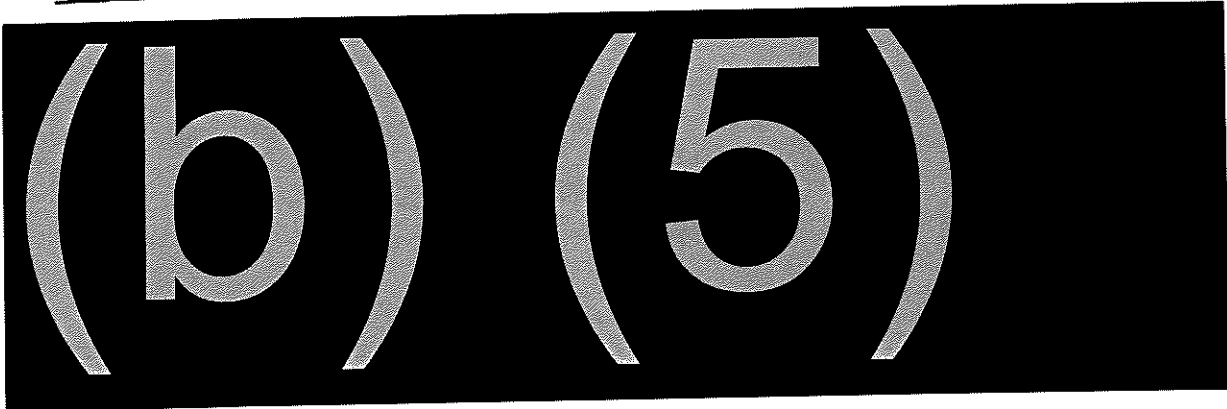
2/ FY 2006 and FY 2007 Total Appropriated Resources Includes \$3,000,000 in projected user fee collections. FY 2008 Total Appropriated Resources Includes \$10,000,000 in projected user fee collections.

Financial Management Service

Overview:

The U.S. Department of the Treasury's Financial Management Service provides central payment services to federal agencies, operates the federal government's collections and deposit systems, provides government-wide accounting and reporting services, and manages the collection of delinquent debt owed to the government. FMS currently has 1,878 employees, with one-third working in the four Regional Financial Centers in Austin, TX; Kansas City, MO; Philadelphia, PA; and San Francisco, CA; and in one National Debt Center in Alabama. The remaining two-thirds work in the Washington, DC area.

Overarching Priorities:

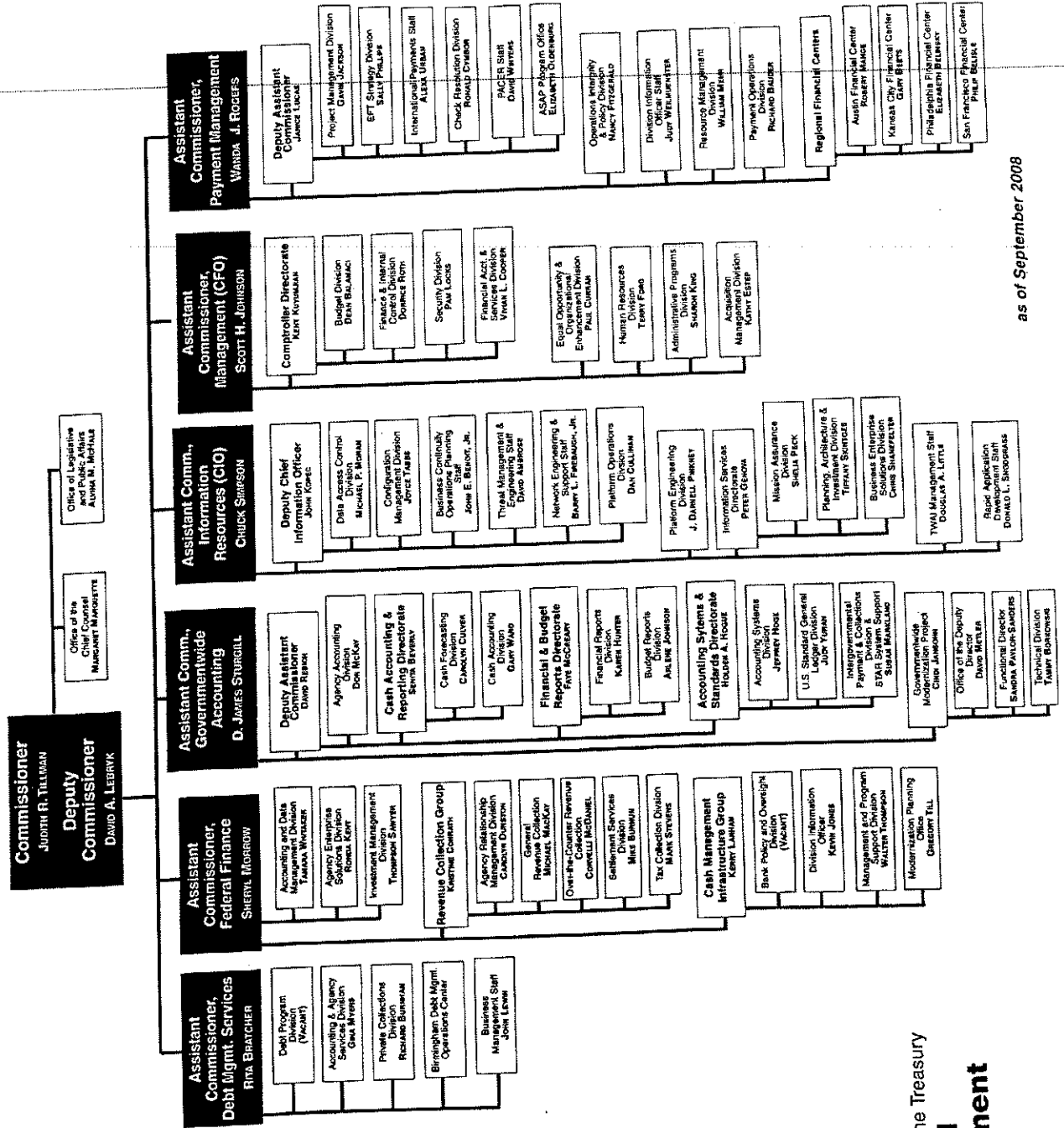


Fiscal Year 2008 Key Statistics:

| | |
|----------------------------------|---|
| *Total Payments | more than 1.1 billion payments totaling nearly \$1.9 trillion |
| --Stimulus Payments | nearly 117 million payments totaling more than \$94 billion |
| Collections | nearly \$3.2 trillion |
| *Total Delinquent Debt Collected | more than \$5.9 billion |
| --Child Support Collected | more than \$2.8 billion |
| Daily Cash Flow Managed | nearly \$68 billion |

**These statistics reflect a significant increase in the payments disbursed and delinquent debts collected due to the implementation of the Economic Stimulus Act of 2008.*

Financial Management Service Organizational Chart



as of September 2008

Department of the Treasury
Financial Management Service

Financial Management Service (FMS)

| Dollars in Thousands Financial Management Service (FMS) | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{1/} | |
|--|-----------|-------|-----------|-------|-----------|-------|--|-------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| FMS | 233,881 | 1,818 | 235,381 | 1,761 | 234,423 | 1,692 | 239,344 | 1,500 |
| Total | \$233,881 | 1,818 | \$235,381 | 1,761 | \$234,423 | 1,692 | \$239,344 | 1,500 |

1/ FY 2009 President's Budget does not represent approved FY 2009 operating levels

Office of the Inspector General

Overview:

The Department of the Treasury's Office of Inspector General (OIG) was established pursuant to the 1988 amendment to the Inspector General Act of 1978. OIG is headed by an Inspector General who is appointed by the President of the United States, with the consent of the United States Senate. OIG performs independent and objective reviews of Treasury programs and operations, except for those of the Internal Revenue Service (IRS). The Treasury Inspector General for Tax Administration (TIGTA) performs audit and investigative oversight related to IRS. The mission of the OIG is to:

- (1) Conduct and supervise audits and investigations of Treasury programs and operations;
- (2) Provide leadership and coordination and recommend policies for activities designed to:
 - (a) promote economy, efficiency, and effectiveness in the administration of Treasury programs and operations, and
 - (b) prevent and detect fraud, waste, and abuse in Treasury programs and operations; and
- (3) Keep the Secretary and the Congress fully and currently informed about problems, abuses, and deficiencies in Treasury programs and operations.

Operating Budget:

- 1) In Fiscal Year 2008, the OIG was authorized 115 FTE and had an operating budget of \$18,450,000, with salaries and benefits accounting for about 72% of funding.
- 2) For Fiscal Year 2009, the OIG accepted the final OMB determination of 115 FTE and \$19,356,000, however, a Continuing Resolution through March 6, 2009 at Fiscal year 2008 rates has been signed. OIG may need to request relief from the CR limitation due to failed bank Material Loss Review (MLR) related travel that may be required by OA to meet this congressionally mandated requirement.

The FY 2010 budget process has been stretched out due to the transition to a new administration. Treasury expects to submit the budget to Congress in late March/early April, rather than in January. In addition to an FY 2010 budget request of \$20,156,000, OIG will also include an initiative to staff and fund material loss reviews that will likely be required due to the increasing number of bank failures. The initiative requests an additional 60 FTE (50 audit, 7 investigators & 3 support), and \$10,550,000 to meet the anticipated work (An MLR typically takes six auditors six months to complete.), for a total request of \$30,706,000 and 175 FTE.

Office of the Inspector General (OIG)

| Dollars in Thousands Office of the Inspector General (OIG) | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{1/} | |
|---|-----------------|------------|-----------------|------------|-----------------|------------|---|------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| | 16,830 | 115 | 16,957 | 111 | 18,450 | 112 | 19,356 | 115 |
| Total | \$16,830 | 115 | \$16,957 | 111 | \$18,450 | 112 | \$19,356 | 115 |

^{1/} FY 2009 President's Budget does not represent approved FY 2009 operating levels

Treasury IG for Tax Administration (TIGTA)

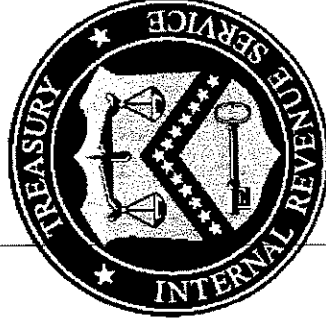
| Dollars in Thousands Treasury IG for Tax Administration (TIGTA) | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget ^{1/} | |
|--|------------------|------------|------------------|------------|------------------|------------|--|------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| | 131,953 | 850 | 132,861 | 817 | 140,533 | 835 | 145,736 | 835 |
| Total | \$131,953 | 850 | \$132,861 | 817 | \$140,533 | 835 | \$145,736 | 835 |

1/ FY 2009 President's Budget does not represent approved FY 2009 operating levels

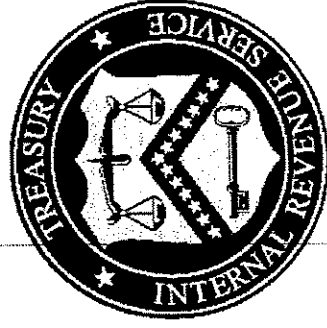
Internal Revenue Service

Transition Briefing: Critical Functions and High Profile Initiatives

November 2008



Economic Environment

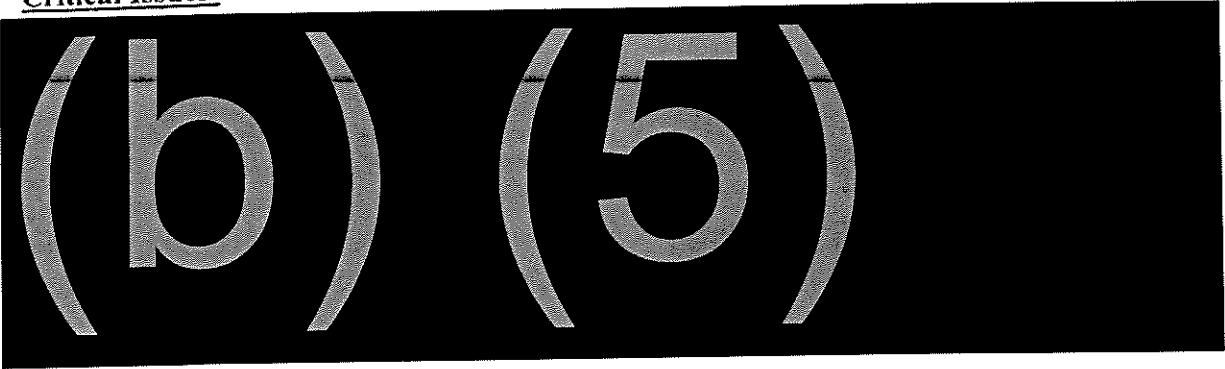


Office of the Comptroller of the Currency

Overview:

The Office of the Comptroller of the Currency (OCC) is a Treasury bureau headed by John C. Dugan, whose five-year term expires in August, 2010. The OCC regulates nationally chartered banks, which include all of the nation's largest banks and about one quarter of all mid-size and community banks.

Critical Issues:



Office of the Comptroller of the Currency (OCC)

| Dollars in Thousands ^{1/} Office of the Comptroller of the Currency (OCC) | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget | |
|---|------------------|--------------|------------------|--------------|------------------|--------------|----------------------------|--------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| | 556,826 | 2,812 | 638,433 | 2,954 | 749,100 | 3,078 | 810,872 | 3,139 |
| Total | \$556,826 | 2,812 | \$638,433 | 2,954 | \$749,100 | 3,078 | \$810,872 | 3,139 |

1/ Non-Appropriated Account - Actuals in FY 2006, obligations in 2007, and estimates in FY 2008 and FY 2009.

Office of Thrift Supervision

Overview:

The Office of Thrift Supervision oversees 829 savings associations with approximately \$1.51 trillion in assets as of June 30, 2008.

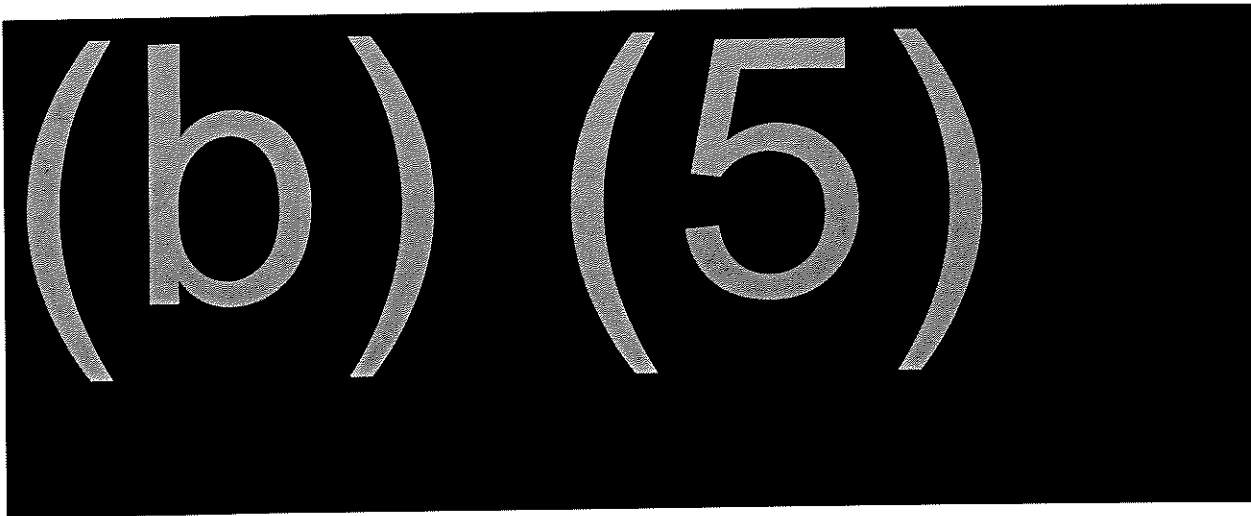
Operating Budget:

The OTS' budget for FY 2009 is balanced, despite lost assessment revenue from two large thrifts that closed in 2008 – Washington Mutual and IndyMac Bank. No reduction in staff will be required as a result of these closures, although there will be a decrease in hiring new examiners. The examination force will undergo some redistribution to align the workforce with the current workload.

Personnel:

When OTS was formed in 1989, a large part of staff - and substantially all examiners - were transferred from the Federal Home Loan Bank system into federal service as Schedule A employees. As Schedule A employees, these staff are not considered competitive status employees and cannot be considered for positions in other federal agencies open only to such candidates. To make these staff eligible for openings for status candidates in other federal agencies, OTS is investigating options to transfer its existing Schedule A employees to competitive status service. In addition, the majority of OTS Schedule A employees are covered by a private pension plan - the Financial Institution Retirement Fund (FIRF) - which is not transportable to other agencies. Approximately 420 OTS employees are currently covered by FIRF.

Critical Issues:



Office of Thrift Supervision (OTS)

| Dollars in Thousands ^{1/} | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget | |
|------------------------------------|------------------|------------|------------------|--------------|------------------|--------------|----------------------------|--------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| Office of Thrift Supervision | 199,497 | 918 | 232,500 | 1,015 | 245,500 | 1,104 | 251,638 | 1,104 |
| Office of Thrift Supervision | | | | | | | | |
| Total | \$199,497 | 918 | \$232,500 | 1,015 | \$245,500 | 1,104 | \$251,638 | 1,104 |

1/ Non-Appropriated Account - Actuals in FY 2006, obligations in 2007, and estimates in FY 2008 and FY 2009.

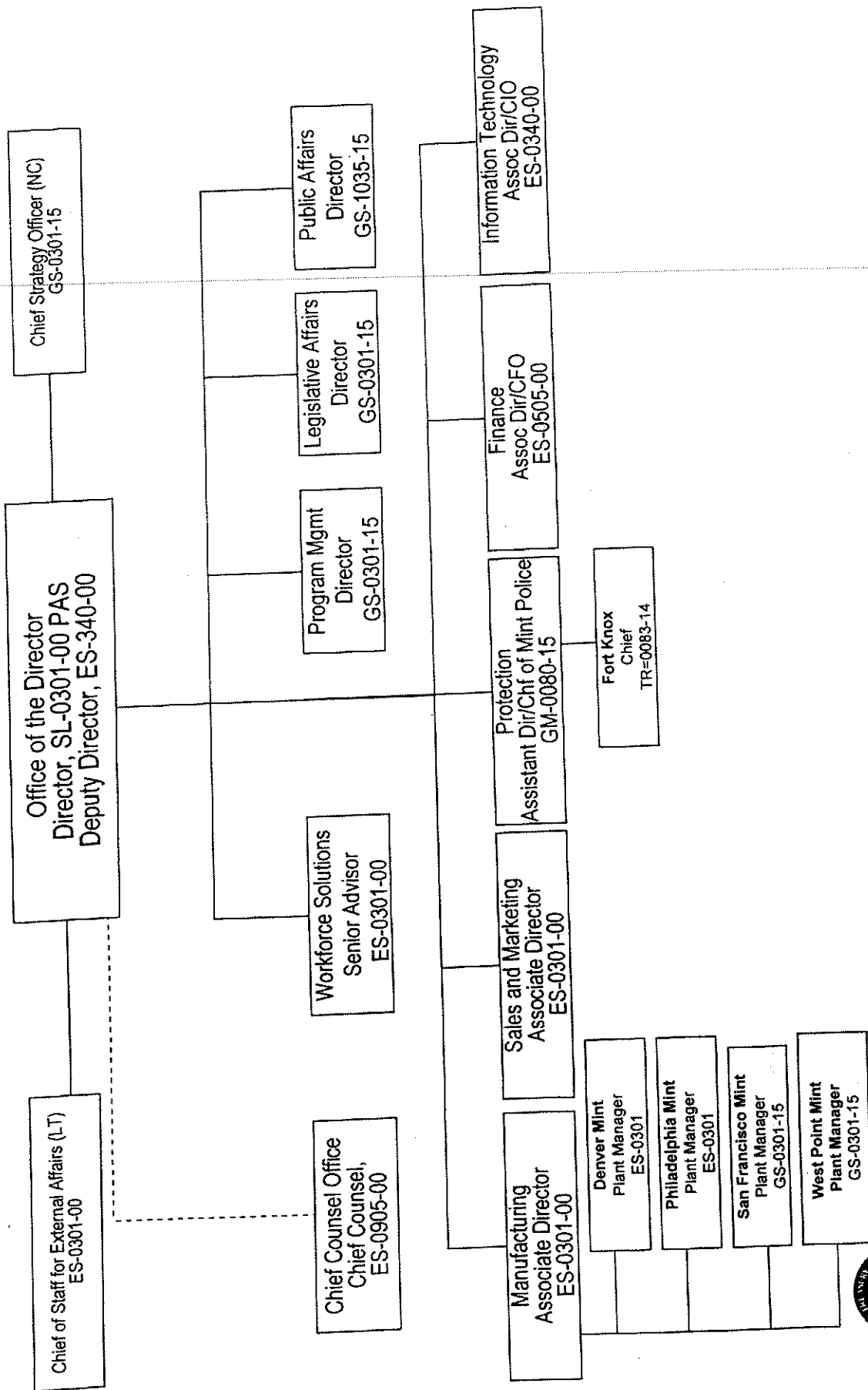
United States Mint

Overview:

Mission: The core statutory mission of the United States Mint is to execute the Secretary of the Treasury's responsibility to mint and issue coins in amounts necessary to meet the needs of the United States. The United States Mint also carries out the Secretary's statutory authorities to prepare and distribute numismatic items, and to prepare and strike national medals.

(b) (5)

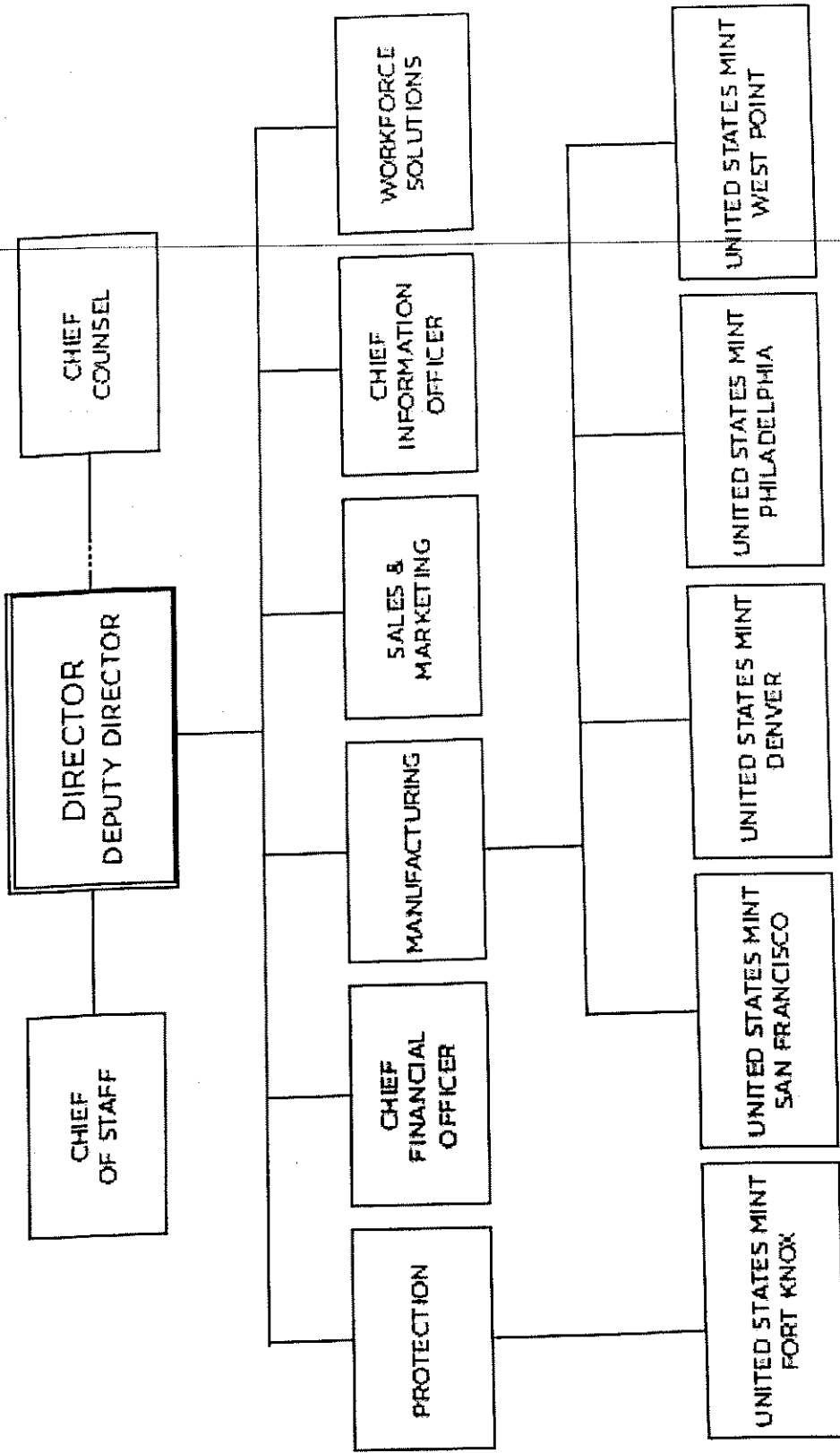
UNITED STATES MINT ORGANIZATION



Edmund C. Moy
Director, United States Mint

September 2008

UNITED STATES MINT



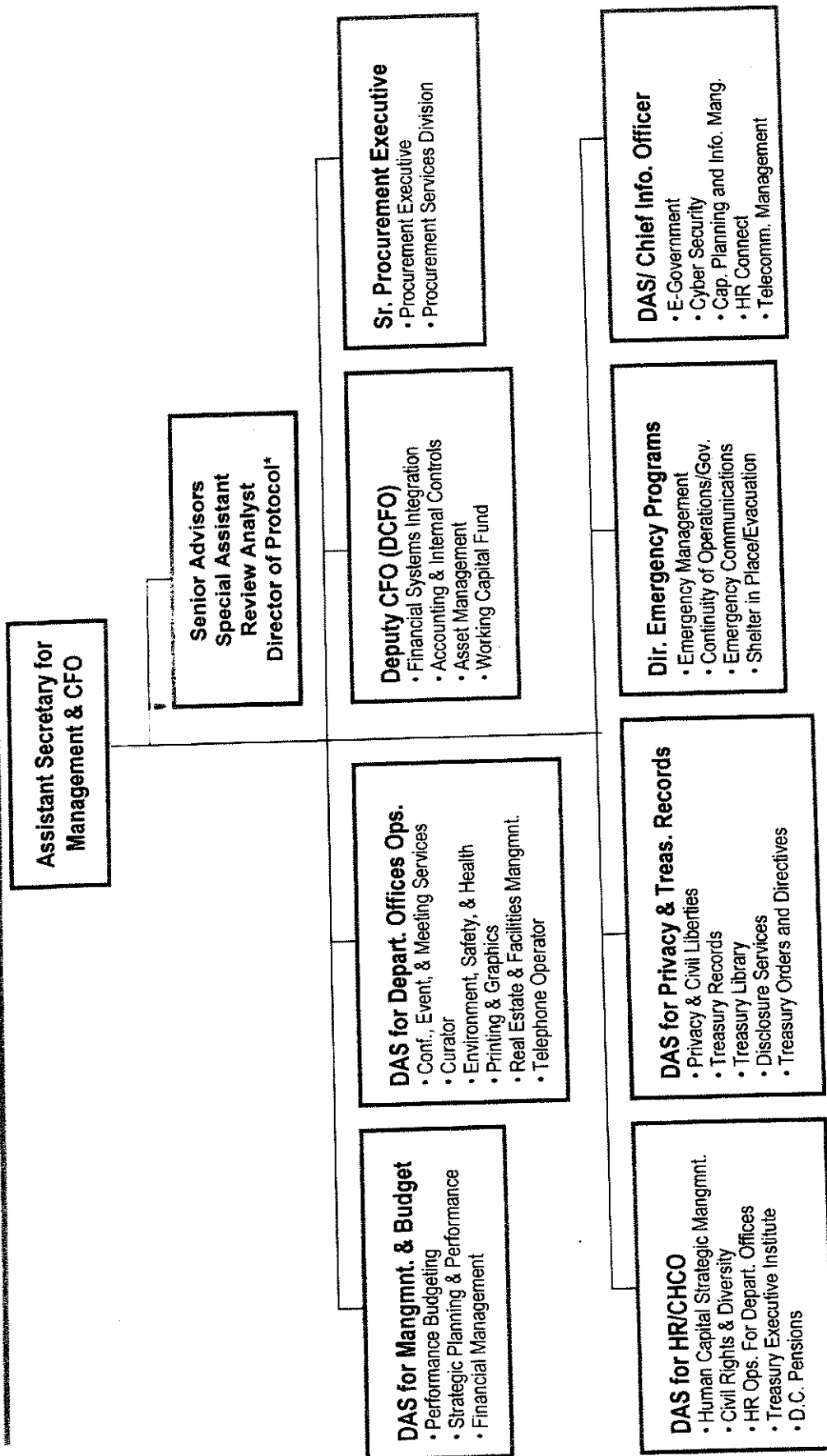
United States Mint

| Dollars in Thousands ^{1/} U.S. Mint | FY2006 | | FY2007 | | FY 2008 | | FY 2009 President's Budget | |
|---|--------------------|--------------|--------------------|--------------|--------------------|--------------|----------------------------|--------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| | 1,506,017 | 1,927 | 1,814,208 | 1,944 | 2,175,326 | 2,071 | 2,125,816 | 2,065 |
| Total | \$1,506,017 | 1,927 | \$1,814,208 | 1,944 | \$2,175,326 | 2,071 | \$2,125,816 | 2,065 |

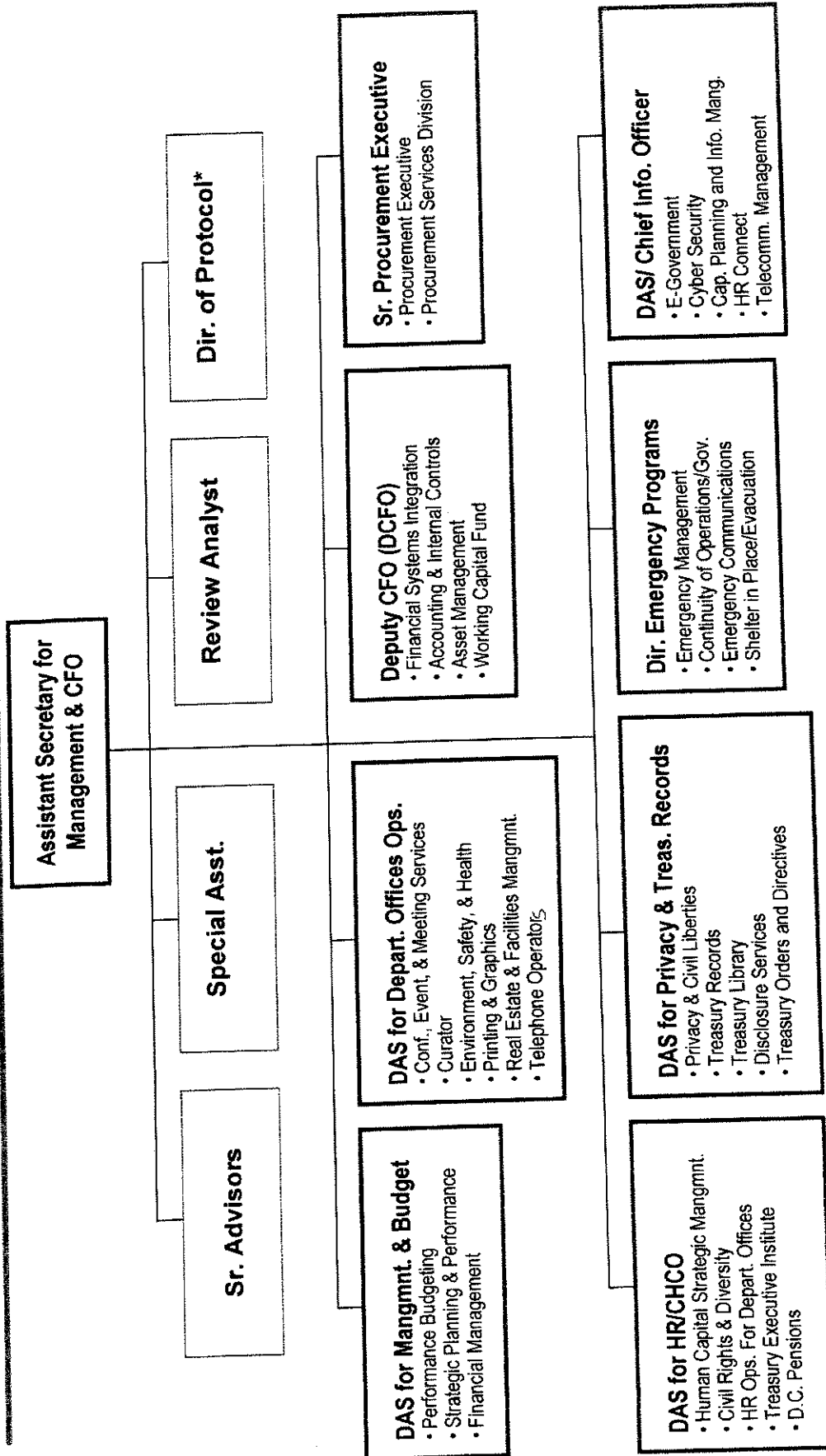
^{1/} Non-Appropriated Account - Actuals in FY 2006, obligations in 2007, and estimates in FY 2008 and FY 2009.



Office of the Assistant Secretary for Management & CFO



Office of the Assistant Secretary for Management & CFO



EXECUTIVE SUMMARY – OFFICE OF THE ASSISTANT SECRETARY FOR MANAGEMENT/CFO

Key Functions

- Oversees Department-wide management programs including information technology, management, financial/accounting, strategic planning, performance budgeting/metrics, acquisition/procurement, training, human capital and workforce management, equal employment opportunity, environmental health and safety, administrative support services, emergency preparedness, competitive sourcing, privacy and civil liberties, and freedom of information. Responsible for implementation of the President's Management Agenda; serves as the Department's Chief Operating Officer for purposes of the Presidential Memorandum, "Implementing Government Reform," dated July 11, 2001.
- Serves as the Department's Chief Financial Officer with authorities and functions as described in the Chief Financial Officers Act of 1990. As CFO, responsible for preserving the integrity and reliability of the Department's financial systems, overseeing Department-wide financial management, accounting policy, internal controls, cash management, credit management, debt management, and the coordination and monitoring of Department-wide government accountability; manages the financial reports and statements process, and the integrated agency and bureau financial management systems; chairs the Treasury Chief Financial Officers Council and represents the Department at the government wide Chief Financial Officers Council.

The ASM/CFO supervises the following offices:

- **Deputy Chief Financial Officer (DCFO)** responsible for implementing the Chief Financial Officers Act of 1990 and the Government Management Reform Act of 1994, accounting policy and procedures, internal controls, and oversight of the automated financial management and revenue systems; provides policy and programs and investment management for assets related to real property, personal property and fleet; manages the Treasury Franchise Fund and Working Capital Fund, which includes oversight responsibilities.
- **Deputy Assistant Secretary for Management and Budget (DASMB)** responsible for strategic planning, budget formulation, organizational issues, and program evaluation; oversees the strategic planning processes and the implementation of the Government Performance and Results Act, analyzes resource requests and allocations, as well as budget execution; makes recommendations to departmental offices and bureaus on budget priorities and strategies; prepares and coordinates the annual budget submission for the Department to OMB, and works with OMB on the Department's portion of the President's Budget; formulates, manages, and directs the budget process for Departmental Offices.
- **Deputy Assistant Secretary for Departmental Offices Operations (DASDO)** provides management and administrative support for the offices and employees in the Department's headquarters offices (Departmental Offices). The office oversees the Department's headquarters facilities, as well as offices which provide various support functions in the areas of renovations, travel, historical preservation and curatorial services, telephone operator services, special events, food services, asset management, safety/health/environmental compliance, and printing and graphics.

- **Deputy Assistant Secretary for Human Resources and Chief Human Capital Officer (DASHR/CHCO)** provides Department-wide oversight in all areas of human capital management, including Equal Employment Opportunity (EEO) and diversity and civil rights; executes Treasury's responsibilities for certain District of Columbia retirement programs; develops broad programs and policy guidance for human resources programs and initiatives/strategies; provides consultative services for the bureaus on human capital issues, including performance management, workforce development, executive resources, employment and staffing, compensation policy, labor and employee relations, and workers compensation; manages the Treasury Executive Institute, providing learning opportunities for executives and GS-15s from the Departmental Offices and bureaus.
- **Deputy Assistant Secretary (Information Systems) and Chief Information Officer (DASIS/CIO)** responsible for Department-wide information technology (IT) strategy, budget, and governance; responsible for policy, compliance, and oversight of the Treasury IT investment portfolio, compliance with the Paperwork Reduction Act and Information Quality Act, Department-wide IT security, operational compliance and privacy safeguards, and serves as the Department's lead on E-Government initiatives. The CIO chairs the Technical Investment Review Board, provides policy direction and oversight of the Department's IT human capital requirements, enterprise architecture development and information management. The CIO also oversees the Department's IT governance and IT capital planning and investment control process, cyber security, telecommunications, and the human resources management system.
- **Deputy Assistant Secretary for Privacy and Treasury Records (DASPTR)** responsible for Department-wide policy, reporting, and compliance with applicable authorities, as well as Departmental Offices operations, in the privacy and civil liberties areas, as well as in the related information management areas of records disclosure under the Freedom of Information Act; the management, preservation, and appropriate release of Treasury records; and library and research services; maintains a system of Treasury Orders and Directives program that reflect current Departmental policies, activities, and procedures.
- **Senior Procurement Executive (SPE)** provides guidance for Departmental offices and bureau procurement programs and systems, evaluates bureau procurement operations, directs and expands the use of streamlined, cost effective procurements, purchase card and strategic sourcing, commercial item acquisitions, and performance-based service contracting. Manages the Procurement Services Division, the operational procurement function for Departmental Offices, responsible for obligating and managing DO procurements. SPE also administers a Department-wide career management program for acquisition professionals.
- **Director of Emergency Programs (EP)** coordinates and facilitates the Department's emergency programs, working with other national security and emergency preparedness components in the federal government. EP is responsible for the development and maintenance of policies, plans, and procedures to support those initiatives as well as the associated training, tests, and exercises. Office functional areas include emergency management, continuity of operations, and continuity of government, emergency communications, and shelter in place/evacuation.

ASM/CFO Briefing Paper PTR Overview
October 15, 2008

Executive Summary:

The Office of the Deputy Assistant Secretary for Privacy and Treasury Records (PTR) serves the American public and the Treasury community by setting the standard for the protection, access, and appropriate disclosure of Treasury's information assets. PTR also maintains a Treasury Orders and Directives program that accurately reflects current Departmental policies, activities, and procedures. The Department of the Treasury is committed to maintain, collect, use, and disseminate information as authorized by law and as necessary to carry out Treasury's mission.

The PTR was established in FY08 in order to strengthen the Department's privacy programs by combining key privacy functions and elevating the privacy program to directly report to the Assistant Secretary for Management and Chief Financial Officer (ASM/CFO). The realignment of information privacy, civil liberties, records management, library, and disclosure functions into one office promotes an integrated approach to information management and protection across the Department. PTR developed FY08 goals and objectives within a strategic plan that supports the PTR core values of service, quality, excellence, and teamwork. The combined efforts of the PTR team ensure that the Treasury community has the knowledge resources needed to serve an informed public, while continuing to strengthen the Department's compliance with all privacy and disclosure requirements, safeguarding of personally identifiable information, and promoting process transparency, accountability, and timeliness.

The Office of Privacy and Civil Liberties was created to protect the privacy and civil liberties of individuals by ensuring that due consideration and regard for information privacy and civil liberties are addressed in the execution of Departmental programs and policies. It has enabled Treasury to highlight the need for proactive prevention policies and procedures for protecting personally identifiable information (PII). The Privacy Office developed policy and procedures regarding and implemented the requirements of the Implementing Recommendations of the 9/11 Commission Act of 2007.

The Office of Treasury Records ensures the preservation of records containing the adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency, and to furnish the information necessary to protect the legal and financial rights of the government and of persons directly affected by the agency's activities.

The Treasury Library manages and provides convenient access to mission critical information required by Treasury offices and bureaus, and provides information about the Department to the public. The Library is a partial Federal Depository Library, which means that it is open to the public. The Library initiated efforts to preserve the collection by digitizing historic documents, including legislative histories compiled by Treasury librarians.

The **Office of Disclosure Services** provides Treasury-wide policy, oversight and compliance, and reporting functions, as well as policy, reporting, and operational support for the decentralized Departmental Offices FOIA functions. With Disclosure Services support, Treasury met its annual 10% FOIA backlog reduction goal. In fact, Treasury substantially surpassed its FY08 target and reduced its FOIA backlog by 40%.

The **Office of Treasury Orders and Directives (OTOD)** is committed to ensuring that the Department maintains a system of Orders and Directives that accurately reflects current policies, activities, and responsibilities. Significant progress has been made this year to establish a robust and accountable system to ensure the Department's governance documents accurately reflect the operating environment within Treasury. OTOD revised procedures, established quality review points, and strengthened the tracking system to ensure appropriate reviews are conducted throughout the update process.

Big Decisions/Deadlines during first 90 days:

(b) (5)



DASMB

DASMB EXECUTIVE SUMMARY

The Deputy Assistant for Management and Budget (DASMB) oversees the Treasury-wide offices of Performance Budgeting (OPB) and Strategic Planning and Performance Management (OSPPM) and the Departmental Office of Financial Management (OFM). The Department-wide responsibilities consist of all budget and performance functions and policy related to: budget formulation and execution, strategic planning, performance metrics, management analysis, and implementation of the President's Management Agenda at the Treasury Department. The Departmental responsibilities include budget, accounting, and travel services for all Departmental customers and funds, including: Working Capital Fund Programs, Department-wide Systems and Capital Investment Programs, the Office of Technical Assistance, the Exchange Stabilization Fund, and the Office of Financial Stability.

Decisions/Deadlines for the New Administration First 90 days

(b) (5)



DCFO

Lewis, Mike

From: Runnels, Al
Sent: Tuesday, October 14, 2008 4:25 PM
To: Lewis, Mike
Cc: Alix, Cathy; Lingeback, James
Subject: RE: DATA CALL - Transition Briefing Paper

Follow Up Flag: Follow up
Due By: Wednesday, October 15, 2008 12:00 AM
Flag Status: Flagged

Mike,

I just talked with Jim. For DCFO's part, first 90 days of the new Administration, our office will be:

(b) (5)



So disregard latter portion and use bullets above or perhaps merge them into just one major bullet. I can do that later, but must get to some OFS stand-up support issues now.

Al

From: Lewis, Mike
Sent: Tuesday, October 14, 2008 3:17 PM
To: Runnels, Al
Cc: Alix, Cathy; Lingeback, James
Subject: RE: DATA CALL - Transition Briefing Paper

Al, copying Jim L. too – I know you guys are pressed. What I need primarily are any hot topics or 90 day decisions that are on your radar. Thx.

Mike

Mike Lewis
Sr. Advisor to the Assistant Secretary for Management/CFO
Department of the Treasury
1500 Pennsylvania Ave. Room 2426
Washington, DC

From: Alix, Cathy

Sent: Thursday, October 02, 2008 4:48 PM

To: Cuffe, Elizabeth; Duffy, Michael; Foster, Wesley; Granat, Rochelle; Runnels, Al; Sharpe, Thomas Jr.; Thomas, James; Wolslayer, Kelly

Cc: Lewis, Mike

Subject: DATA CALL - Transition Briefing Paper

In preparation for the upcoming Presidential Transition, Management has been asked to prepare a briefing paper for the incoming Secretary and Deputy Secretary. Please provide me with the following information for each of your respective offices to be incorporated into the ASM briefing paper:

- *Executive Summary – basic overview of your office mission/function*
- *Big decisions/deadlines that the new Administration will confront in the first 90 days in office*
- *Hot topics*

This information should be no longer than 2 pages in length – very top-line and submitted to Mike Lewis no later than Friday, October 10, 2008.

In addition, I am forwarding you the last version of the ASM Briefing Book that was prepared for Pete. Please update your respective sections. Please note that the ASM Reorganization has created the need for a DASPTR section and has altered the HQ Ops (now DOOps) and OCIO sections a bit. Your updated section is due to Mike Lewis no later than Friday, October 17, 2008.

<< File: Updated FY06-08 Budget Snapshot ASM.xls >> << File: ASM Documents.doc >> << File: ASM Org Chart.ppt >> << File: Bureau Heads Bios.doc >> << File: BureauHead.xls >> << File: DASHR CHCO.doc >> << File: DASHR CHCO.ppt >> << File: DASMB.doc >> << File: DASMB.ppt >> << File: DCFO.doc >> << File: DCFO.ppt >> << File: EP.doc >> << File: EP.ppt >> << File: Executive Summary.doc.rtf >> << File: HQ Ops.doc >> << File: OCIO.doc >> << File: OCIO.ppt >> << File: OPE.doc >> << File: OPE.ppt >> << File: Roles of the ASMCFO FINAL.doc >>

While past experience indicates that each incoming Administration provides unique instructions on preparing briefing materials, there are some fundamentals that we can anticipate. Hopefully, having this up-to-date information readily available will facilitate quick and accurate responses to the incoming Administration's inquiries and keep quick turnaround requests to a minimum.

Thank you in advance for your timely response to these taskings.

Cath

Cathy D. Alix
Senior Advisor to the Assistant Secretary for
Management/Chief Financial Officer
Department of the Treasury
Main Treasury
Phone: 202.622.1030

SPE

THE SENIOR PROCUREMENT EXECUTIVE

Executive Summary

The Senior Procurement Executive (SPE) is responsible for operations of two offices, the Office of the Procurement Executive (OPE) and Procurement Services Division (PSD). OPE is responsible for Department-wide acquisition management and strategies including policy, process, evaluation, setting and measuring acquisition goals, and continuous improvement. PSD is the operational procurement function for Departmental Offices (DO), responsible for correctly obligating and managing approximately \$200 million per year of DO procurement requirements.

Key Decision (First 90 Days)

X (b) (5)

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Hot Topics

X
X
X
X (b) (5)

A large rectangular black box redacting the content of the 'Hot Topics' section.

THE SENIOR PROCUREMENT EXECUTIVE

Overview

The Senior Procurement Executive (SPE) is responsible for operations of two offices, the Office of the Procurement Executive (OPE) and Procurement Services Division (PSD). OPE is responsible for Department-wide acquisition management and strategies including policy, process, evaluation, setting and measuring acquisition goals, and continuous improvement. PSD is the operational procurement function for Departmental Offices (DO), responsible for correctly obligating and managing approximately \$200 million per year of DO procurement requirements.

SPE focuses on high-value, critical acquisition issues that:

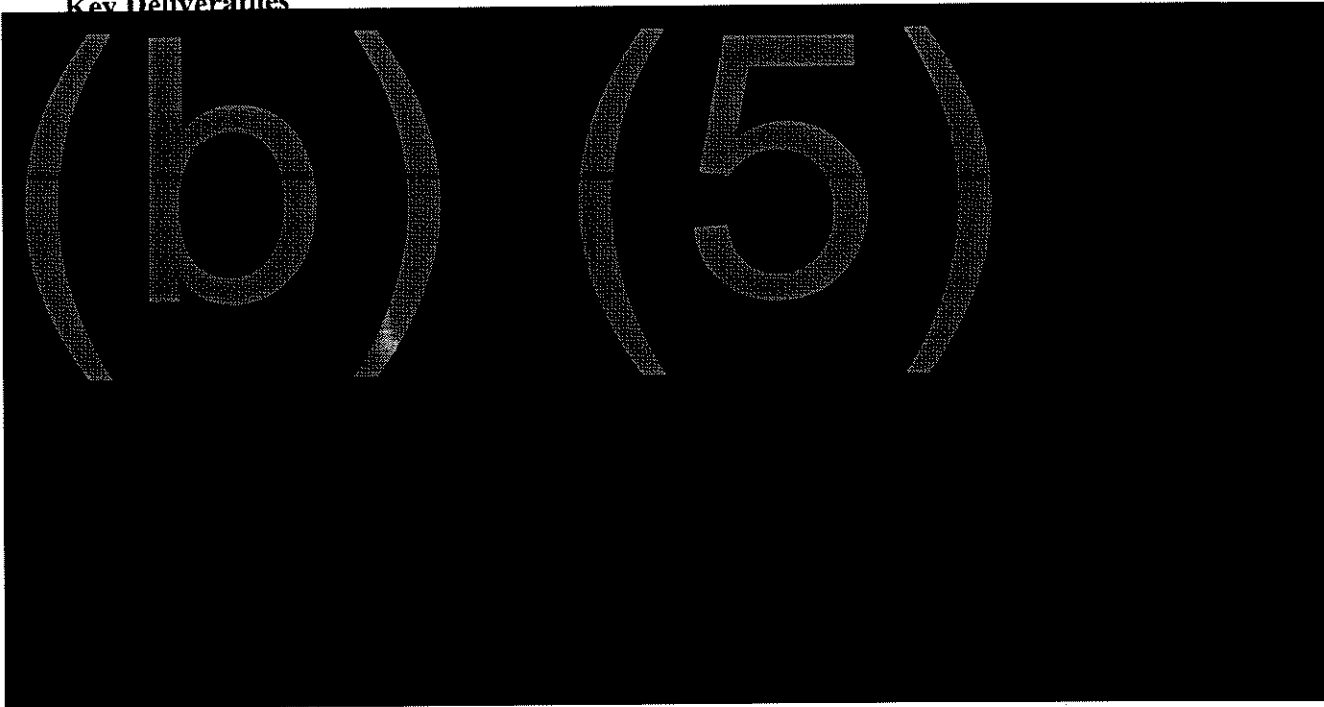
- Support and promote the achievement of federal business goals and strategies;
- Reduce federal overhead buying products and services at lower cost;
- Facilitate improved taxpayer service delivery by placing better quality, higher performing supplies, technology, and support service in the hands of federal managers;
- Improve efficiency, timeliness, and increased focus on customer;
- Produce better information to support planning and execution of the procurement function;
- Encourage the participation of all the nation's diverse human and business resources in a revitalized economy;
- Serve and protect the public interest; and
- Ensure that the government's business be conducted under the highest ethical standards.

Key Functions

- Policy and Oversight (OPE):
 - Prescribe Department-wide procurement policies, regulations, and procedures.
 - Make procurement-related determinations and decisions and take other actions, consistent with appropriate laws, Executive Orders, policies and regulations.
 - Evaluate bureau procurement operations against established goals and requirements.
 - Promote implementation of innovative practices and streamlined processes designed to improve procurement management and productivity.
 - Develop and maintain an automated procurement data system and assure that system procurement data are accurate, complete and timely.
 - Manage a Department-wide acquisition career management program.
 - Manage the Department competition advocate program.
 - Establish goals and oversee bureau activities in support of mandated procurement programs.
- Operational Procurement (PSD):

- Promotes sound acquisition planning through customer outreach and education, as well as interlock with rest of management platform (OFM, OGC, and technical representatives from DO offices.)
- Obligates the government in accordance with the Federal Acquisition Regulation and the Department of the Treasury Acquisition Regulation and Policies.
- Performs contract management to ensure delivery of supplies and services.

Key Deliverables



Major Accomplishments

- High Impact Acquisition Control Model: Developed and deployed model in FY06 to focus on:
 - Getting current IT Issues off the Congressional Watch List;
 - Preventing new IT Investments (contracts) from getting on the Watch List;
 - Improving acquisition planning and management; and
 - Ensuring appropriate staffing.
- Strategic Sourcing: OPE stood up and managed one of the best strategic sourcing programs in government, with real savings and improved ability to meet socio-economic goals for the Department.
 - The Department was also a co-founder with GSA and OMB of a government-wide Federal Strategic Sourcing Initiative (FSSI) to leverage federal spending.
 - Working with the Treasury Acquisition Institute, the Department established a three course strategic sourcing offering, unique in the federal government.
- Procurement Metrics. OPE has developed a comprehensive suite of Department-wide metrics and indicators to measure procurement maturity and continuous improvement.

- Evaluation and Monitoring Program. OPE has implemented a program recognized by Office of Federal Procurement Policy as having integrated the Government Accountability Office (GAO) Framework for Review of an Acquisition Function, and aligned it with the Internal Controls process within the Department.
- Treasury Acquisition Council (TAC): Chaired monthly TAC meetings to build common management platform and forum to drive synergies, continuous improvement and to develop strong relationships with bureau acquisition leaders.
 - Membership includes Bureau Chief Procurement Officers (BCPOs) and leaders from the offices of the CFO and CIO, and served as a forum to support emerging cross-disciplinary issues and manage initiatives.
 - The TAC reviewed BCPO, Inspector General (IG), and Government Accountability Office (GAO) audit results as a Department-wide learning opportunity.
- PSD successfully completed obligating all FY08 funds timely, meeting all DO procurement requirements.
- Mobilized to support emergency procurements related to the ongoing financial crisis.

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Senior Procurement Executive

Updated October 13, 2008

Thomas A. Sharpe, Jr.
Senior Procurement Executive
Met Sq. 6111
x21039

Marie Vazquez-Lopez
Admin Support Spec
Met Sq. 6102
x23786

Kevin Youel Page
Acting Director, PSD
1425 NY Ave, NW
x20651

Vacant
Subsidiary Procurement
Met Sq. 6101

Temporarily Vacant

OPE



Office of the Procurement Executive

Updated October 13, 2008

Thomas A. Sharpe, Jr.
Senior Procurement Executive
Met Sq. 6111
x21039

Marie Vazquez-Lopez
Admin Support Spec
Met Sq. 6102
x23786

Kevin Youell
Specialist, Procurement
Met Sq. 6101
x26584

Jean Carter
Procurement Analyst
Met Sq. 6109
x26760

Karen Davis
Procurement Analyst
Met Sq. 6103
x22092

Cathy Higginbotham
Procurement Analyst
Met Sq. 6105
x26585

Patrick Breen
Procurement Analyst
Met Sq. 6107
x20248

Danica Hames
Intern
Met Sq. 6092
x24279

| | |
|----------------|------------|
| Useful numbers | |
| OPE fax | x22273 |
| Tech support | x21111 |
| Tele-operators | x22777 |
| Facilities | x21350 Met |
| Sq Bldg Mgmt | 2/638-0655 |

Temporarily vacant

All extensions begin with (202) 62...



CIO

OFFICE OF THE DEPUTY ASSISTANT SECRETARY FOR INFORMATION SYSTEMS AND CHIEF INFORMATION OFFICER (DASIS/CIO)

Overview

Treasury's Office of the Deputy Assistant Secretary for Information Systems and Chief Information Officer (DASIS/CIO) is responsible for Department-wide information technology (IT) policy and oversight for cyber security, implementation of the Electronic Government (E-Gov) component of the President's Management Agenda, enterprise architecture (EA), information management, and IT capital planning for Treasury's IT investment portfolio valued at \$2.7B (FY 2008). Additionally, the Office of the DASIS/CIO is responsible for the management and operation of the Treasury-wide telecommunications infrastructure supporting Bureaus and Departmental Offices (DO) as well as Treasury's web-based human resource system, HR Connect.

Key Functions

- **Cyber Security:** Leads the Department-wide Cyber Security Program to ensure protection of Treasury's systems and automated information assets. Functions include Federal Information Security Management Act (FISMA) oversight, performance management, security policy, cyber critical infrastructure protection, security configuration management, and incident reporting. The program's scope includes classified and unclassified systems throughout the Department.
- **E-Government:** Supports Treasury's mission by implementing strategies that improve the efficiency and performance of Treasury's IT systems and business processes. The Office identifies high-payoff IT investment opportunities, enhances cross-bureau collaboration, and facilitates development and use of the Treasury EA.
- **IT Capital Planning and Information Management:** Manages Treasury's IT investment portfolio and establishes IT capital planning and investment control policies and processes. Provides leadership, oversight, policy development and training for Treasury information collection programs, accessibility, forms management, and information quality programs. Additionally, provides leadership and program management for a Terrorism and Financial Intelligence Enterprise Content Management solution.
- **Telecommunications Management:** Oversees DO IT infrastructure management as well as the enterprise voice and data telecommunications infrastructure for the Department, including enterprise-wide applications. Also responsible for providing comprehensive IT services and support for DO, including policy office systems/applications as well as Secure Network infrastructure and applications.
- **HR Connect:** Manages the Treasury Human Resources LoB Shared Services Center (SSC). The Treasury SSC technical platform (HR Connect) is an enterprise-wide human resources system asset, built on a variety of commercial-off-the-shelf software, to include PeopleSoft. As an SSC, HR Connect leverages Treasury and National Finance Center legacy systems to transform core back-office HR

functions from a processing-centric capability to a strategy-centric capability, enabling staff to focus on strategic and core mission functions.

Key Deliverables

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Deputy Assistant Secretary for Information Systems and Chief Information Officer
(DASIS/CIO)

Executive Summary:

The Office of the DASIS/CIO provides leadership to the Department and its Bureaus in all areas of information and technology management. The DASIS/CIO supports Treasury's mission by implementing strategies that improve the efficiency and performance of Treasury information technology (IT) systems and business processes. The DASIS/CIO has Department-wide responsibility for the direction and development of Treasury's IT strategy, compliance with IT management policies, governance of IT resources and investments, and leadership of key technology programs and initiatives.

Specifically, the DASIS/CIO leads the U.S. Department of Treasury's use of IT and resources to improve the operations and service delivery of Treasury programs and functions. The DASIS/CIO advances the achievement of the agency's mission by assisting senior management in recognizing where IT can add value while transforming and supporting program operations. Additionally, the DASIS/CIO advises the Secretary of the Treasury, in partnership with other senior managers, to ensure management's needs are addressed, market innovative uses of technology, and facilitate management's access to information resources.

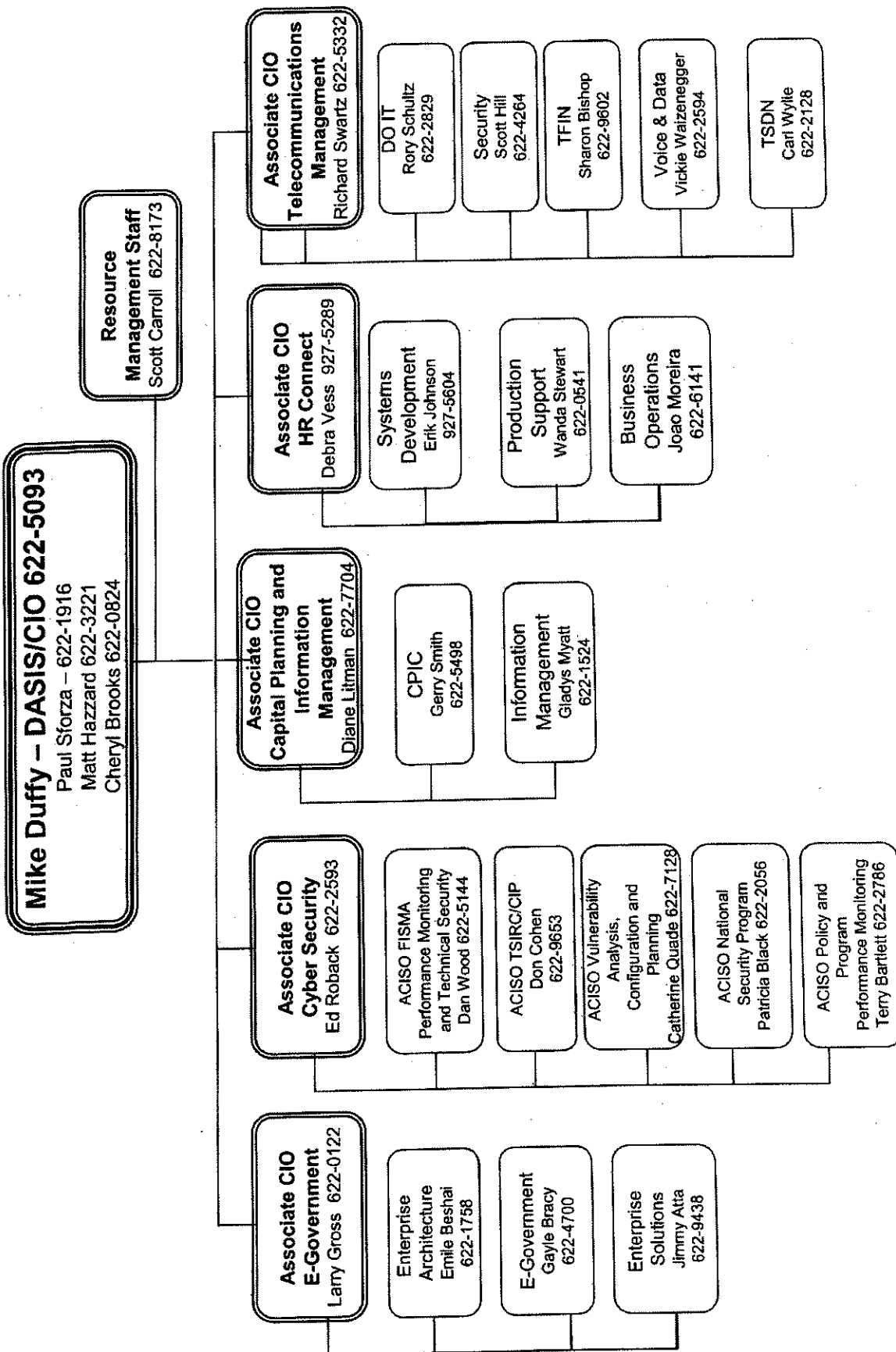
Consistent with the Information Technology Management Reform Act of 1996 (Clinger-Cohen Act), the DASIS/CIO leads Treasury's Bureaus in effectively managing information resources through advocating cross-organizational program and process improvements. This role includes promoting and identifying opportunities for cost-effective and efficient use of IT resources, and communicating principles of effective IT acquisition and management.

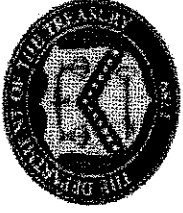
The DASIS/CIO provides leadership, strategic direction, and oversight for Department level programs including Telecommunications Management, Infrastructure Operations, Cyber Security, Architecture and Planning, HR Connect, as well as management and governance programs including Capital Planning and Investment Control (CPIC). The DASIS/CIO also oversees operation of IT services for the Departmental Offices.

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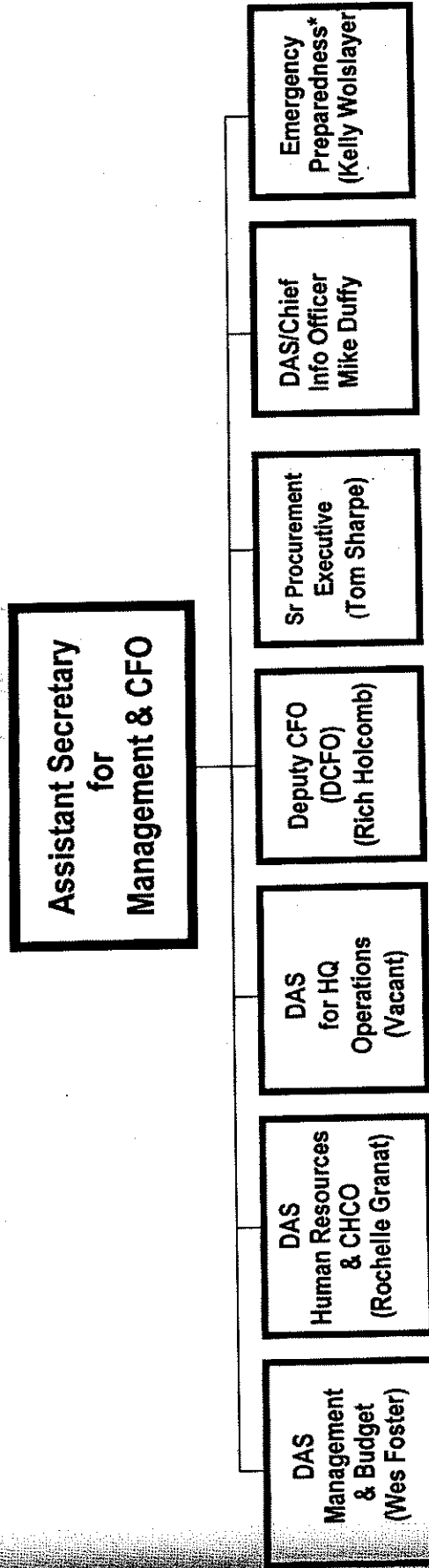


Deputy Assistant Secretary for Information Systems and Chief Information Officer (DASIS/CIO) Organization





ASM/CFO Organization



Department of the Treasury Office of Emergency Programs

EP

Overview

The Department of the Treasury, Office of Emergency Programs coordinates and facilitates Treasury emergency management programs and directly supports White House, Department of Homeland Security (DHS), and other partners in critical national security, Homeland Security, and emergency management initiatives.

Key Functions

Shelter-in-Place/Evacuation: The Shelter-in-Place/ Evacuation (SIP/E) program is the foundation of the Treasury Department's Emergency Programs. It ensures the safety and protection of Treasury Departmental Office employees by providing situational awareness, emergency notification, and incident response on behalf of Treasury management, working directly with the United States Secret Service. It also develops and implements comprehensive occupant emergency plans and procedures, conducts training at Town Hall meetings and annual drills. Alert and notification systems include fire alarm and emergency broadcast systems (EBS), E-Pop emergency alert software, and a cache of emergency radios to provide occupant notifications during emergencies.

Emergency Management: The Emergency Management (EM) Program ensures that the Treasury Department is prepared to continue Mission Essential Functions under all circumstances, supports Senior Official decision making, and facilitates reporting mechanisms to Federal, State, local, and Non-Governmental emergency management partners and the White House during emergency events. The EM Program provides tailored services to Treasury Departmental Offices and Bureaus (DO/B) to enhance their preparedness for all hazards events. The EM Program also operates the Emergency Management Center (EMC) which manages and coordinates DO/B response and recovery efforts to emergency situations such as Hurricanes and increases its operational status during higher risk events such as the State of the Union.

Continuity: The Continuity Program manages both Continuity of Operations (COOP) and Continuity of Government (COG) requirements on behalf of the Department. The COOP Program monitors DO/B's on-going ability to continue Treasury's Mission Essential Functions (MEFs) and the overarching Primary Mission Essential Functions (PMEFs) under all circumstances with minimal to no interruption. Program elements include maintaining a primary and alternate COOP site (W2 and W4); a Treasury team of essential personnel capable of performing all essential functions; interoperable communications capabilities between the Departmental Offices COOP team, the Bureaus, and other Federal agency COOP teams; and succession orders and pre-planned devolution of authorities. The Office also supports the National COG Program which is a coordinated effort within the Federal Executive Branch (FEB) to ensure the continuation of National Essential Functions during a Catastrophic Emergency.

Homeland Security Council Policy and Initiatives: While it does not currently comprise a separate program, the Office serves as the Department's primary liaison to the Homeland Security Council (HSC). It coordinates the Treasury response to HSC initiatives and represents Treasury on numerous interagency senior official forums that exist to address strategic national security and emergency preparedness issues. Examples include Policy Coordination Committees (PCCs) such as the Pandemic Influenza PCC and sub-PCC; Continuity PCC; the Plans, Training, Exercises and Evaluation PCC; and the Domestic Readiness Group. Examples of the operational forums include the Joint Federal Committee (JFC), JFC Emergency Management Sub-Committee, and the National Capital Region Operations Center Working Group.

Test, Training & Exercise Program: The Test, Training, and Exercise (TT&E) program directly supports the Office's SIP/E, EM, and Continuity Programs. By implementing a robust training and exercise schedule, this program measures the extent to which Treasury's emergency and continuity plans, policies, procedures, systems, teams, and alternate operating facilities meet Treasury, Homeland Security Council, and Department of Homeland Security/ Federal Emergency Management Agency expectations.

Emergency Communications: The Emergency Communications Program provides an array of equipment and services to Treasury Senior Staff and Continuity team members to ensure the interoperability of the Department's and Bureaus' various Emergency Programs and their ability to safely and securely transmit voice and data information. This includes Wireless Priority Service, Secure Video, High Frequency HF-ALE radios at Headquarter and Bureau sites, Top Secret Satellite Phones, Top Secret Cell Phones, Secure facsimile and Telephones and GETS cards.

Emergency Information Management Program: This program partners with the Office of Privacy and Treasury Records to ensure that suitable protective measures are in place for Treasury emergency records and copies of DO/B vital records sets. Vital records include "Emergency Operating Records" and "Rights and Interests" Records.

Big Decisions

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(b) (5)

DO

THE OFFICE OF THE DEPUTY ASSISTANT SECRETARY FOR DEPARTMENTAL OFFICES OPERATIONS

Executive Summary

The Office of the Deputy Assistant Secretary for Departmental Offices Operations has the responsibility for providing management and administrative support services for the offices and employees in the Department's headquarters offices (Departmental Offices). The office oversees the Department's headquarters owned and leased facilities, as well as offices which provide various support functions in the areas of renovations, planning, property management, relocation services, historic preservation and curatorial services, telephone operator services, special events, food services, asset management, safety/health/ environmental compliance, and printing and graphics.

X Office of the Deputy Assistant Secretary for Departmental Offices Operations includes the following organizations:

- Conference Event and Meeting Services – serves as the primary source for special event and conference planning, meeting room and program management, and in-house dining services.
- Curator – preserves the cultural resources of the Treasury Building and Treasury Annex for the enjoyment of the public, Treasury employees, and future generations.
- Environment, Safety, and Health – provides leadership and guidance on Environmental, Energy, Safety, and Health issues at Departmental Offices and Treasury's bureaus.
- Printing and Graphics – provides printing and graphics services in the most cost-effective and efficient manner. Includes printing procurement, graphics design services, and in-house printing operations.
- Real Estate and Facilities Management – functions as the single point of contact for Departmental Offices in the areas of space management and allocation, mail delivery, motor pool services, personal property management, relocation services, maintenance, repair and alteration of assigned buildings.
- Telephone Operators – provides general public Treasury Department telephone answering services and teleconference setup for Departmental Offices and Bureaus from 6:00 AM to 7:00 PM seven days a week.

✓ Big decisions/deadlines

• (b) (5)

HR

**Office of the Deputy Assistant Secretary for Human Resources and
Chief Human Capital Officer (DASHR/CHCO)**

Executive Summary

The Office of the Deputy Assistant Secretary for Human Resources and Chief Human Capital Officer (DASHR/CHCO) is responsible for Department-wide policy and oversight in all areas of human capital management, including employment and staffing, compensation, benefits, executive resources, succession planning, labor and employee relations, workforce development, performance management, diversity management, equal employment opportunity and other human capital functions. In this capacity, the Office works closely with bureau HR and EEO offices and the Office of Personnel Management (OPM). The Office also provides for the full range of human resource services to support operations of Departmental Offices and executes Treasury's responsibilities under Title XI of the Balanced Budget Act of 1997, as amended. This Act transferred to Treasury certain responsibilities for District of Columbia retirement programs for police officers, firefighters, teachers and judges. The following offices comprise the DASHR/CHCO organization:

- The Office of Human Capital Strategic Management
- The Office of Civil Rights and Diversity
- The Office of Human Resources Operations for Departmental Offices
- The Treasury Executive Institute
- The Office of DC Pensions

Major Decisions/Deadlines-First 90 Days

(b) (5)






GENERAL COUNSEL

DEPARTMENT OF THE TREASURY
WASHINGTON, D.C.

October 16, 2008

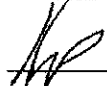
ACTION MEMORANDUM FOR SECRETARY PAULSON

FROM: Robert F. Hoyt 
General Counsel

SUBJECT: Designation of First Assistants

Recommendation

That you sign the attached document entitled, "Designation of First Assistants." The designation will improve continuity of the Department's functions by designating "first assistants" who may serve as Treasury officials in an acting capacity when vacancies arise under the Vacancies Reform Act.

 Approve _____ Disapprove _____ Let's Discuss _____

Background

The Vacancies Reform Act (5 U.S.C. §§ 3345-3349d) ("Act") establishes the procedures and requirements for vacancies in presidentially-appointed, Senate-confirmed offices within the Executive Branch that may be filled on a temporary basis. Under the Act, if a presidentially-appointed, Senate-confirmed (PAS) official covered by the Act dies, resigns, or is otherwise unable to perform the functions and duties of the office, the requirements of the Act must be followed. The Act specifies the individuals who may serve in an acting capacity.

The first assistant to the PAS official who has left the position automatically serves as an acting official, unless the President directs otherwise. To ensure continuity, it is advisable to establish first assistants for PAS positions. The Department has promulgated regulations (31 C.F.R. Part 18) that set forth general requirements for designation of first assistants not already established by statute. Under the regulations, each PAS position may have a first assistant. Specifically, the regulations provide that where there is a position of principal deputy to the PAS's office, the principal deputy shall be the first assistant. In addition, where there is only one deputy position to the PAS's office, the official in that position is designated the first assistant. For positions where there is neither a principal deputy or a single deputy, the regulations authorize the Secretary of the Treasury to designate, in writing, the first assistant. Several specific individual designations have been made under this authority.

In preparation for the transition, and to have a single document that sets forth all of the PAS positions and their first assistants, the Office of General Counsel has prepared the attached document for your approval and signature. The document, entitled, "Designation of First

Assistants” designates a first assistant for those positions that have not been designated by operation of statute or regulation. In addition, appendix A to the document includes a table that displays each PAS position, the designated acting official or first assistant, the specific statutory authority for acting, and the basis upon which the designation was made.

This also partially fulfills a separate OMB request that agencies identify the career individuals who will be acting in PAS positions by October 15.

Attachment:

Designation of First Assistants



DEPARTMENT OF THE TREASURY
WASHINGTON, D.C.

SECRETARY OF THE TREASURY

DESIGNATION OF FIRST ASSISTANTS TO OFFICES IN THE DEPARTMENT

Pursuant to the authority vested in the Secretary of the Treasury by 5 U.S.C. § 301, 31 U.S.C. § 321(b), and 31 C.F.R. § 18.1(c), I hereby make the following designations of First Assistants (as that term is used in 5 U.S.C. §§ 3345-3349d):

A. FOR THE DEPUTY SECRETARY OF THE TREASURY

I designate the Under Secretary of the Treasury for Domestic Finance.

B. FOR THE UNDER SECRETARY FOR TERRORISM AND FINANCIAL INTELLIGENCE

I designate the Assistant Secretary of the Treasury for Terrorist Financing.

C. FOR THE UNDER SECRETARY FOR DOMESTIC FINANCE

I designate the Fiscal Assistant Secretary.

D. FOR THE ASSISTANT SECRETARY FOR LEGISLATIVE AFFAIRS

I designate the Deputy Assistant Secretary for Legislative Affairs (Tax and Budget).

E. FOR THE ASSISTANT SECRETARY FOR INTERNATIONAL FINANCIAL MARKETS AND INVESTMENT POLICY

I designate the Deputy Assistant Secretary for International Monetary and Financial Policy.

F. FOR THE ASSISTANT SECRETARY FOR INTERNATIONAL ECONOMICS AND DEVELOPMENT

I designate the Deputy Assistant Secretary for Asia.

G. FOR THE ASSISTANT SECRETARY FOR ECONOMIC POLICY

I designate the Deputy Assistant Secretary for Macroeconomic Analysis.

H. FOR THE ASSISTANT SECRETARY FOR FINANCIAL INSTITUTIONS

I designate the Deputy Assistant Secretary for Financial Institutions Policy.

I. FOR THE ASSISTANT SECRETARY FOR FINANCIAL MARKETS

I designate the Deputy Assistant Secretary for Federal Finance.

J. FOR THE ASSISTANT SECRETARY FOR MANAGEMENT

I designate the Deputy Assistant Secretary for Management and Budget.

K. FOR THE ASSISTANT SECRETARY FOR INTELLIGENCE AND ANALYSIS

I designate the Deputy Assistant Secretary for Intelligence and Analysis.

L. FOR THE ASSISTANT SECRETARY FOR TAX POLICY

I designate the Deputy Assistant Secretary for Tax Policy.

M. FOR THE ASSISTANT SECRETARY FOR PUBLIC AFFAIRS

I designate the Deputy Assistant Secretary for Public Affairs.

N. FOR THE COMMISSIONER OF INTERNAL REVENUE

I designate the Deputy Commissioner for Services and Enforcement.

O. FOR THE CHIEF COUNSEL, INTERNAL REVENUE SERVICE

I designate the Deputy Chief Counsel (Operations).

Any previous designations of First Assistants are hereby superseded.

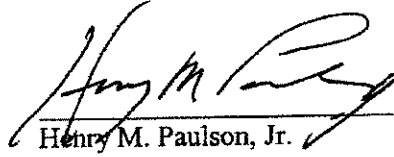
OTHER DESIGNATIONS

Pursuant to 31 U.S.C. § 301(f)(1), I designate the following Assistant General Counsels, in the order listed below, to act as General Counsel when the General Counsel is absent or unable to serve or when the office of General Counsel is vacant.

1. The Assistant General Counsel designated as the Deputy General Counsel
2. The Assistant General Counsel (General Law, Ethics, and Regulation)
3. The Assistant General Counsel (Enforcement and Intelligence)
4. The Assistant General Counsel (Banking and Finance)
5. The Assistant General Counsel (International Affairs)

Appendix A lists all officials designated to serve in an acting capacity by written designation herein, as the principal or only deputy to a position pursuant to 31 C.F.R. 18.1(a) or (b), or through other statutory or regulatory authority.

Dated: October 16, 2008


Henry M. Paulson, Jr.

| PAS Position | Designated Acting Official | Specific authority for acting | Basis of designation |
|---------------------------------|--|--------------------------------------|--|
| A/S (Tax Policy) | DAS (Tax Policy) | | Secretary's written designation herein |
| A/S (Economic Policy) | DAS (Macroeconomic Analysis) | | Secretary's written designation herein |
| A/S (Financial Institutions) | DAS (Financial Institutions Policy) | | Secretary's written designation herein |
| A/S (Financial Markets) | DAS (Federal Finance) | | Secretary's written designation herein |
| A/S (Public Affairs) | DAS (Public Affairs) | | Secretary's written designation herein |
| A/S (Management) | DAS (Management & Budget) | | Secretary's written designation herein |
| Chief Financial Officer | Deputy CFO | | Only Deputy |
| Assistant GC/Chief Counsel IRS | Deputy Chief Counsel (Operations) | | Secretary's written designation herein |
| Treasurer of the U.S. | | | |
| Director of the Mint | Deputy Director | | Only Deputy |
| A/S (Terrorist Financing) | DAS (Terrorist Financing and Financial Crimes) | | Only Deputy |
| A/S (Intelligence and Analysis) | DAS (Intelligence & Analysis) | | Secretary's written designation herein |

Abbreviations: "PAS" is Presidentially-appointed, Senate-confirmed; "U/S" is Under Secretary; "A/S" is Assistant Secretary, "DAS" is Deputy Assistant Secretary.

APPENDIX A

"Acting Official" Designations for PAS Positions

| PAS Position | Designated Acting Official | Specific authority for acting | Basis of designation |
|--|--|-------------------------------|--|
| Secretary | Deputy Secretary | 31 U.S.C. § 301 (c) | E.O. 13246 |
| Deputy Secretary | U/S for Domestic Finance | | Secretary's written designation herein |
| U/S (International Affairs) | Deputy U/S designated as A/S (International Financial Markets and Investment Policy) | | Only Deputy |
| U/S/ Terrorism and Financial Intelligence | A/S (Terrorist Financing) | | Secretary's written designation herein |
| U/S (Domestic Finance) | Fiscal Assistant Secretary | | Secretary's written designation herein |
| Commissioner of Internal Revenue | Deputy Commissioner for Services and Enforcement | | Secretary's written designation herein |
| Comptroller of the Currency | First Deputy Comptroller | 12 U.S.C. § 4 | |
| Director of the Office of Thrift Supervision | First Deputy Director | 12 U.S.C. § 1462a(c) | |
| General Counsel | Deputy General Counsel | 31 U.S.C. § 301(f) | |
| Inspector General | Deputy Inspector General | | Only Deputy |
| Treasury Inspector General for Tax Administration (TIGTA) | Deputy TIGTA for Audit | | TIGTA Delegation Order No. 28 |
| Deputy U/S, designated A/S (Legislative Affairs) | DAS for Legislative Affairs (Tax and Budget) | | Secretary's written designation herein |
| Deputy U/S, designated A/S (International Financial Markets and Investment Policy) | DAS (International Monetary & Financial Policy) | | Secretary's written designation herein |
| A/S (International Economics and Development) | DAS (Asia) | | Secretary's written designation herein |

Alix, Cathy

From: Dick, Denise
Sent: Tuesday, September 30, 2008 2:32 PM
To: Alix, Cathy
Subject: Transition

Info needed:

- budget
- org charts
- executive summary
- big decisions/ deadlines
- hot topics

(b) (5)

A large black rectangular redaction box covers the content of the email body below the list of information needed.

Alix, Cathy

From: Valdeon, Lindsay
Sent: Tuesday, October 28, 2008 8:31 AM
To: Alix, Cathy
Subject: transition

I have received and am editing: BEP, Operations (Mike Heath), IA, WHL. I expect to see today TFI and the Mint.

Lindsay J. Valdeon
U.S. Department of the Treasury
1500 Pennsylvania Avenue NW
Washington, DC 20220
202-622-5780
Lindsay.Valdeon@do.treas.gov

(b) (5)



Back - page 2

From: Dick, Denise
Sent: Tuesday, September 30, 2008 2:32 PM
To: Alix, Cathy
Subject: Transition

25 pages

(b) (5)



(b) (5)



(b) (5)



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THE WALL STREET JOURNAL

WSJ.com

OCTOBER 31, 2008

Paulson Gears Up Transition Plan

By DEBORAH SOLOMON

WASHINGTON -- Treasury Secretary Henry Paulson is laying the groundwork to give the next administration a role in making crucial decisions before Inauguration Day, raising the odds that parallel teams will help navigate the financial crisis in the coming weeks.

The unusual degree of coordination is a sign of the enormous task facing a new administration that will inherit a \$700-billion rescue program that it didn't create and may not fully embrace. It also means the winner of Tuesday's election could be running a shadow Treasury Department inside the agency.

Mr. Paulson -- who has an interest in seeing the bailout succeed -- plans to consult with the new administration on key decisions, according to a Treasury official. He is carving out office space at Treasury, assembling briefing books and has been in frequent contact with both Sens. John McCain and Barack Obama.

"Secretary Paulson has strong views about the program. At the same time, it would be irresponsible to not consult on any big moves with the next team," the official said.

Mr. Paulson's plan to take equity stakes in banks and buy bad loans and other troubled assets from financial institutions didn't get full approval from either candidate.

Sen. McCain, the Republican nominee, has said he's "disappointed" Mr. Paulson hasn't adopted his proposal to spend \$300 billion to buy up and restructure individual home loans, and has criticized the use of taxpayer money to help financial institutions without requiring additional regulation.

Democratic Sen. Obama has suggested he wants to attach conditions to money the government spends, such as tighter restrictions on executive pay and more protections for homeowners.

Mr. Paulson will be in control until Jan. 21. But there will be a host of decisions made before then about how to spend some of the \$700 billion. While Treasury

has already begun buying equity stakes in banks, the \$250 billion program will continue taking applications for 10 days after the election. Treasury has yet to determine which financial assets to buy and who to buy them from. Given that Treasury has authority to buy almost any financial instrument -- including residential mortgages, car loans and mortgage-backed securities -- a new administration may want to exert its own influence.

A spokesman for the Obama campaign declined to comment. The McCain campaign didn't respond to requests for comments.

While every administration prepares for a hand-off in power, Treasury's efforts are moving at a faster pace than normal. The agency already has office space set aside, as well as phone and Internet connections in place. Treasury officials say they are operating under the assumption that they need to be ready by Wednesday.

Most observers expect the next president to quickly tap a Treasury secretary, given the country's fragile economic state and the thicket of financial issues facing the next administration. In the past, most Treasury secretaries were picked in December and confirmed in February.

Sen. Obama's possible picks include former Clinton Treasury Secretary Lawrence Summers, Federal Reserve Bank of New York President Timothy Geithner and former Fed Chairman Paul Volder. Sen. McCain has mentioned both former eBay Inc. Chief Executive Officer Meg Whitman and Cisco Systems Inc. CEO John Chambers as possibilities. Other possibilities include World Bank President Robert Zoellick, Merrill Lynch & Co. CEO John Thain and John Taylor, a Stanford University economist and McCain economic adviser.

Treasury's briefing books include detailed information on topics as varied as the government takeover of Fannie Mae and Freddie Mac, its foreclosure prevention efforts and its rescue program. The transition efforts are being spearheaded by Jim Wilkinson, Mr. Paulson's chief of staff, who has overseen four presidential and cabinet-level transitions; Kenneth Carfine, Treasury's fiscal assistant secretary and a 35-year veteran of the department; and Peter McCarthy, assistant secretary for management.

One of the first topics the team plans to brief the incoming administration about is personnel decisions. Aside from picking a Treasury secretary, the new president will need to fill such key slots as the undersecretary for domestic finance and an assistant secretary to oversee the rescue plan. Both posts require Senate confirmation, though nominees can work at Treasury in an advisory role until they're confirmed.

Write to Deborah Solomon at deborah.solomon@wsj.com

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Alix, Cathy

From: Wilkins, Vernetta
Sent: Tuesday, October 28, 2008 12:10 PM
To: Granat, Rochelle; Dick, Denise
Cc: Alix, Cathy; Cannon, Dennis
Subject: RE: Benefits briefings/Q&A Session

West Gable has been confirmed for both dates
11/6 12:30 - 2pm - will be conference style may hold up to 25 people -
11/13 1:30 - 2:30 - will be theatre style may hold up to 60 people

From: Granat, Rochelle
Sent: Tuesday, October 28, 2008 10:54 AM
To: Dick, Denise
Cc: Alix, Cathy; Cannon, Dennis; Wilkins, Vernetta
Subject: RE: Benefits briefings/Q&A Session

If you confirm dates and times, we will try to reserve the Gable room. How is 11/6 at 12:00 and 11/13 at 1:00?

Rochelle F. Granat
Deputy Assistant Secretary for Human Resources
and Chief Human Capital Officer
Department of the Treasury
202-622-6052

From: Dick, Denise
Sent: Tuesday, October 28, 2008 10:09 AM
To: Granat, Rochelle
Subject: FW: Benefits briefings/Q&A Session

I will send out an e-mail but wanted to know if rooms have been reserved and if all the letters have been sent? At this point, even if someone did not attend one of the briefings, I think we should send the letter. Do you agree?

From: Alix, Cathy
Sent: Tuesday, October 28, 2008 9:37 AM
To: Dick, Denise
Subject: Re: Benefits briefings/Q&A Session

Yes, please.

From: Dick, Denise
To: Alix, Cathy
Sent: Tue Oct 28 09:21:57 2008

10/28/2008

TO: Treasury Team
FROM: Jim Wilkinson, Chief of Staff
RE: Transition Update
DATE: October 30, 2008

The upcoming transition to a new Administration will be one of the most important in Treasury's history. It is important that we all continue our efforts to plan and prepare for this important period, and Secretary Paulson expects each of us to do everything we can to help the next Treasury team prepare for success.

Treasury's transition efforts are being coordinated internally by me, Fiscal Assistant Secretary Ken Carfine, Assistant Secretary for Management Pete McCarthy, and Deputy Executive Secretary Lindsay Valdeon. This team will provide the initial primary interface with the President-elect's Treasury transition team.

In recent weeks our team has held personal meetings and conversations with each of your organizations to provide transition guidance, including guidance on preparation of briefing materials for the transition team which will soon arrive on behalf of the President-elect.

We appreciate all of your hard work thus far to prepare for the transition, and many of you have already submitted your briefing materials. If you have not yet done so, please submit your materials to Lindsay Valdeon as soon as possible, but no later than Monday. As previously discussed, all briefing materials are to be complete prior to Election Day so that we can be prepared to begin immediately.

As the transition begins, I will provide regular updates to you. Please feel free to contact me with any questions.



UNDER SECRETARY

DEPARTMENT OF THE TREASURY
WASHINGTON, D.C.

January 14, 2009

INFORMATION MEMORANDUM FOR INTERNATIONAL AFFAIRS

FROM: David H. McCormick, Under Secretary for International Affairs *SUCH*
SUBJECT: January 2009 IA Transition Plans

As we all prepare for the pending changes later this month, I wanted to share with you the transition plans to cover the period until the new Treasury team is fully in place.

First, I am pleased to report that Mark Sobel and Andy Baukol have agreed to serve as Acting Under Secretary and Assistant Secretary for IA, respectively. They will take up these roles effective at noon on January 20. Mark will take the lead on all issues in his deputation, Energy and Environment, Research and Risk Analysis, International Development Finance and Debt, as well as the Business Office. Andy will cover all of the regional offices, OTA, CFIUS, Trade and Investment, and maintain his leadership role on the management agenda. Sonja and Jamie will also continue to serve as senior advisors. I have every confidence that their broad experience and sound judgment will steer IA wisely during the transition period.

Second, with respect to changes in the Deputies:

- Western Hemisphere: Nancy Lee will return to her previous position as DAS for Western Hemisphere, resuming this position officially on January 20, 2009. I am extremely grateful for Brian O'Neill's regional expertise and energetic advancement of Treasury's priorities during his tenure with us.
- Investment Security: Mark Jaskowiak will serve as Acting DAS for Investment Security, also effective on January 20, 2009. IA has benefited greatly from the many important improvements in CFIUS policies and process achieved by Nova Daly, Mark, and the rest of the team. I am particularly appreciative of Nova's leadership in this critical area.
- Trade and Investment: As of January 12, 2009, Steve Tvardek will serve as Acting Deputy Assistant Secretary for Trade and Investment. Dave Kavanaugh's leadership and service in advancing free trade and investment has been tireless, despite many obstacles, and I wish him luck in his new position in Senator Ensign's office.
- Europe and Eurasia: Given his outstanding performance during the ongoing financial maelstrom in Europe, Eric Meyer will continue to serve as Acting DAS for Europe.

- Multilateral Development Banks, Debt and Development Policy: Similarly, given her strong leadership over the past six months, Karen Mathiasen will continue to serve in her position as Acting DAS.
- Strategic Economic Dialogue: David Loevinger will serve as our point person for IA on the SED, with our DC Treasury team supporting him. Eugene Huang will continue to work, in coordination with IA, on the SED and Ten-Year Framework from the Chief of Staff's office.

Finally, while there will be many changes in the coming months here at Treasury, I take heart that this Department, and IA in particular, has some of the best civil servants in government. I know that you will work tirelessly to help the new team get on their feet and address the significant economic challenges ahead.

It has been a great pleasure and honor to work with all of you over the past 18 months. I wish you great success in 2009 and beyond.

cc: Pete McCarthy
Jim Wilkinson
Rochelle Granat



DEPARTMENT OF THE TREASURY
WASHINGTON, D.C. 20220

TO: Treasury Team
FROM: Jim Wilkinson, Chief of Staff
RE: Transition Update
DATE: October 30, 2008

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In recent weeks our team has held personal meetings and conversations with each of your organizations to provide transition guidance, including guidance on preparation of briefing materials for the transition team which will soon arrive on behalf of the President-elect.

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As the transition begins, I will provide regular updates to you. Please feel free to contact me with any questions.



The Department of the Treasury

Budget Overview

November 2008



Treasury Accounts

- Treasury funding is provided through appropriated, mandatory and non-appropriated accounts
 - Annual Discretionary Appropriations (over \$13 billion)
 - Mandatory Accounts (over \$500 billion)
 - Non-Appropriated Accounts (over \$3 billion)
- Additionally Treasury manages over \$700 million of resources for centralized services



Appropriated Accounts

- Annual discretionary accounts are funded through the appropriations from two congressional subcommittees:
 - Financial Services and General Government subcommittee provides operating appropriations for nine of the 12 Treasury bureaus
 - 14 accounts fund the bureau salaries, expenses and IT investments
 - Each account has several budget activities for funding bureau responsibilities

| Treasury Financial Services Appropriations | FY 2007 | FY 2008 | FY 2009 | |
|--|-------------|-------------|--------------------|---------------------------|
| | Enacted | Enacted | President's Budget | Increase/Decrease/Percent |
| (Dollars in Thousands) | | | | |
| Alcohol and Tobacco Tax and Trade Bureau | 90,618 | 93,515 | 96,900 | 3,385 3.6% |
| Bureau of the Public Debt | 178,854 | 182,871 | 187,054 | 4,183 2.3% |
| Community Development Financial Institutions Fund | 54,506 | 94,000 | 28,620 | (65,380) -69.6% |
| Departmental Offices | 246,616 | 267,070 | 300,870 | 33,800 12.7% |
| Salaries and Expenses | 216,348 | 248,360 | 273,895 | 25,535 10.3% |
| Department-wide Systems & Capital Investment Program | 30,268 | 18,710 | 26,975 | 8,265 44.2% |
| Financial Crimes Enforcement Network | 73,216 | 85,844 | 91,335 | 5,491 6.4% |
| Financial Management Service | 235,381 | 234,423 | 239,344 | 4,921 2.1% |
| Internal Revenue Service | 10,597,065 | 10,892,384 | 11,361,509 | 469,125 4.3% |
| Taxpayer Services | 2,138,238 | 2,150,000 | 2,150,000 | 0 0.0% |
| Enforcement | 4,686,477 | 4,780,000 | 5,117,267 | 337,267 7.1% |
| Operations Support | 3,544,835 | 3,680,059 | 3,856,172 | 176,113 4.8% |
| Business Systems Modernization | 212,659 | 267,090 | 222,664 | (44,426) -16.6% |
| Health Insurance Tax Credit Administration | 14,856 | 15,235 | 15,406 | 171 1.1% |
| Office of Inspector General | 16,957 | 18,450 | 19,356 | 906 4.9% |
| Treasury Inspector General for Tax Administration | 132,861 | 140,533 | 145,736 | 5,203 3.7% |
| Total Treasury Financial Services | \$1,928,074 | \$2,008,090 | \$2,450,724 | \$461,634 3.8% |



Appropriated Accounts

- State, Foreign Operations and Related Programs Subcommittee also provides appropriations to support Treasury's International assistance Programs
 - International Financial Institutions promote economic growth and poverty reduction in developing countries through U.S. participation in multilateral development banks (approximately \$2 billion)
 - Debt Restructuring funds efforts to prevent the buildup of unsustainable debt burden in poor countries (over \$100 million)
 - Treasury Technical Assistance to developing countries on building market-based economies

| Treasury International Programs | FY 2007 | FY 2008 | FY 2009 | | |
|--------------------------------------|--------------------|--------------------|--------------------|-------------------|----------------|
| | | | President's Budget | Increase/Decrease | Percent Change |
| (Dollars in Thousands) | Enacted | Enacted | | | |
| International Financial Institutions | 1,273,219 | 1,277,289 | 2,071,305 | 794,016 | 62.2% |
| Technical Assistance | 19,800 | 20,235 | 29,000 | 8,765 | 43.3% |
| Debt Restructuring | 64,350 | 30,055 | 141,000 | 110,945 | 369.1% |
| Total | \$1,357,369 | \$1,327,579 | \$2,241,305 | \$913,726 | 68.8% |



Mandatory Accounts

- In addition to annual appropriations, Treasury manages over \$500 billion in mandatory accounts:
 - Permanent indefinite funds for interest payments needed:
 - to finance the public debt
 - by the IRS on refunds of taxes
 - on special accounts handled through Treasury
 - Special accounts for which Congress has given the Department permanent authority to expend funds as appropriations, such as:
 - payments when earned income, child care and health care credits exceed tax liability,
 - payments to the Resolution Funding Corporation
 - reimbursements to Federal Reserve Banks.
 - Offsetting Collections including receipts from other government agencies and private sources, subtracted from the total Treasury budget as an offset.

| | FY 2007 | FY 2008 | FY 2009 | |
|------------------------------------|------------------|------------------|--------------------|----------------------------------|
| (Dollars in Millions) | Enacted | Enacted | President's Budget | Increase/Decrease/Percent Change |
| Interest Payments | 437,902 | 467,440 | 495,419 | 27,979 6.0% |
| Trust Funds and Other Funds | 1,993 | 1,539 | 1,538 | (1) -0.1% |
| Permanent Authority Appropriations | 57,898 | 59,791 | 62,001 | 2,210 3.7% |
| Offsetting Collections | (16,676) | (18,275) | (21,458) | (3,183) 17.4% |
| Total | \$481,117 | \$510,495 | \$537,500 | \$27,005 5.3% |



Non-Appropriated Accounts

- Four Treasury bureaus are funded with resources derived solely from their own activities, classifying them as non-appropriated accounts
- The United States Mint operates on proceeds from the sales of circulating coins to the Federal Reserve Banks and numismatic items to the public
- The Bureau of Engraving and Printing operations are financed by means of a revolving fund established in 1950 and reimbursed through product sales
- The Office of the Comptroller of the Currency is primarily funded from semiannual assessments levied on national banks
- The Office of Thrift Supervision revenue is derived principally from assessments on savings associations and savings and loan holding companies

| Non-Appropriated Accounts | FY 2007 | FY 2008 | FY 2009 | | |
|---|-------------|-------------|--------------------|-------------------|----------------|
| | Enacted | Enacted | President's Budget | Increase/Decrease | Percent Change |
| (Dollars in Thousands) | | | | | |
| Bureau of Engraving and Printing | 556,000 | 531,000 | 559,500 | 28,500 | 5.4% |
| Office of the Comptroller of the Currency | 638,433 | 749,100 | 810,872 | 61,772 | 8.2% |
| Office of Thrift Supervision | 232,500 | 245,500 | 251,638 | 6,138 | 2.5% |
| United States Mint | 1,814,208 | 2,175,326 | 2,125,816 | (49,510) | -2.3% |
| Total Non-Appropriated Accounts | \$3,241,141 | \$3,700,928 | \$3,747,826 | \$46,900 | 1.3% |



Other Treasury Managed Resources

- In addition to operating funds provided through appropriations and non-appropriated revenues, Treasury manages two centralized services accounts funded by billings to Treasury bureaus and other federal customers:
 - Working Capital Fund provides Treasury-wide administrative services (primarily IT services) to promote economies of scale and reduce overhead and duplicative services within the bureaus
 - Treasury Franchise Fund provides administrative business processes solutions to Treasury and other federal customers

| Centralized Services Accounts | FY 2007 | FY 2008 | FY 2009 | |
|--|------------------|------------------|--------------------|-------------------------------------|
| (Dollars in Thousands) | Enacted | Enacted | President's Budget | Increase/Decrease Percent Change |
| Working Capital | 257,931 | 265,133 | 265,783 | 650 0.2% |
| Treasury Franchise Fund | 437,902 | 467,440 | 495,419 | 27,979 6.0% |
| Total Centralized Services Accounts | \$695,833 | \$732,573 | \$761,202 | \$28,629 3.9% |



Total Treasury Accounts and Resources

| Treasury Accounts Dollars in Thousands | | FY 2007 | FY 2008 | President's | | FY 2009 |
|--|--|---------------|---------------|---------------|--------------|----------|
| Annual Discretionary Appropriations | | Enacted | Enacted | Budget | \$ Change | % Change |
| Operating Accounts | | 11,626,074 | 12,009,090 | 12,470,724 | 461,634 | 3.8% |
| International Accounts | | 1,357,369 | 1,327,579 | 2,241,305 | 913,726 | 68.8% |
| Sub-Total Discretionary Accounts | | \$12,983,443 | \$13,336,669 | \$14,712,029 | \$1,375,360 | 10.3% |
| Other Treasury Accounts | | Actual | Estimated | Estimated | \$ Change | % Change |
| Interest Payments | | 437,902,000 | 467,440,000 | 495,419,000 | 27,979,000 | 6.0% |
| Permanent Authority Appropriations and Trust Funds | | 59,891,000 | 61,330,000 | 63,539,000 | 2,209,000 | 3.6% |
| Offsetting Collections | | (16,676,000) | (18,275,000) | (21,458,000) | (3,183,000) | 17.4% |
| Sub-Total Other Treasury Accounts | | \$481,117,000 | \$510,495,000 | \$537,500,000 | \$27,005,000 | 5.3% |
| Total Funding Levels | | \$494,100,443 | \$523,831,669 | \$552,212,029 | \$28,380,360 | 5.4% |
| Non-Appropriated Treasury Accounts | | Actual | Estimated | Estimated | \$ Change | % Change |
| Operating Accounts | | 3,241,141 | 3,700,926 | 3,747,826 | 46,900 | 1.3% |
| Total Non-Appropriated Accounts | | \$3,241,141 | \$3,700,926 | \$3,747,826 | \$46,900 | 1.3% |
| Total Treasury Accounts | | \$497,341,584 | \$527,532,595 | \$555,959,855 | \$28,427,260 | 5.4% |
| Centralized Services Accounts | | Actual | Estimated | Estimated | \$ Change | % Change |
| Working Capital | | 257,931 | 265,133 | 265,783 | 650 | 0.2% |
| Treasury Franchise Fund | | 437,902 | 467,440 | 495,419 | 27,979 | 6.0% |
| Total Centralized Services Accounts | | \$695,833 | \$732,573 | \$761,202 | \$28,629 | 3.9% |



Bureau Detail

November 2008



Appropriated Accounts

Alcohol & Tobacco Tax and Trade Bureau (TTB)



| | FY 2007 | FY 2008 | FY 2009 | | |
|-----------------------|----------|----------|--------------------|-------------------|----------------|
| | Enacted | Enacted | President's Budget | Increase/Decrease | Percent Change |
| Appropriation | \$90,618 | \$93,515 | \$96,900 | \$3,385 | 3.6% |
| Salaries and Expenses | 46,215 | 47,693 | 49,420 | 1,727 | 3.6% |
| Collect the Revenue | 44,403 | 45,822 | 47,480 | 1,658 | 3.6% |
| Protect the Public | | | | | |

TTB administers the Federal Alcohol Administration Act and enforces the sections of the Internal Revenue Code associated with the collection of excise taxes on alcohol, tobacco, firearms and ammunition. TTB funding is provided within the following budget activities:

Collect the Revenue

- Ensures the effective and efficient collection of excise tax revenue applicable to the alcohol and tobacco industries, and eliminates or prevent tax evasion and other criminal conduct

Protect the Public

- Ensures the integrity of products in the marketplace and industry compliance with laws and regulations, and provides information to the public as a means to prevent consumer deception
- Conducts investigations, application reviews, laboratory testing, and education programs

Bureau of the Public Debt (BPD)



| | FY 2007 | FY 2008 | FY 2009 | | |
|---------------------------------------|-----------|-----------|--------------------|-------------------|----------------|
| | Enacted | Enacted | President's Budget | Increase/Decrease | Percent Change |
| Appropriation | | | | | |
| Administering the Public Debt | \$178,854 | \$182,871 | \$187,054 | \$4,183 | 2.3% |
| Wholesale Securities Services | 19,996 | 20,518 | 21,047 | 529 | 2.6% |
| Government Agency Investment Services | 14,594 | 14,648 | 14,497 | (151) | (1.0%) |
| Retail Securities Services | 137,020 | 140,573 | 144,194 | 3,621 | 2.6% |
| Summary Debt Accounting | 7,244 | 7,132 | 7,316 | 184 | 2.6% |

BPD manages the public debt through auctions of federal debt instruments, regulates the primary and secondary Treasury securities markets, and provides timely and accurate reporting on the public debt. BPD funding is provided within the following budget activities:

Wholesale Securities Services:

- Ensures the government's critical financing needs are met and an the infrastructure is in place for the custody and transfer of Treasury securities in the wholesale market
- Issues marketable Treasury bills, notes, bonds and Treasury Inflation-Protected Securities

Government Agency Investment Services:

- Supports federal, state, and local government agency investments in non-marketable Treasury securities and federal agency borrowing, including trust and investment funds held by various agencies

Retail Securities Services:

- Issues and services retail customers holding marketable and savings securities directly with Treasury

Summary Debt Accounting:

- Accounts for and reports on all financial activity related to public debt
- Provides accounting controls for funds received from the sale of securities, and funds disbursed as interest and principal payments

Community Development Financial Institutions Fund (CDFI)



| | FY 2007 | FY 2008 | FY 2009 | | |
|------------------------|----------|----------|--------------------|--------------------|----------------|
| | Enacted | Enacted | President's Budget | Increase/ Decrease | Percent Change |
| Appropriation | \$54,506 | \$94,000 | \$28,620 | (\$65,380) | (69.6%) |
| Salaries and Expenses | 31,881 | 58,480 | 24,417 | (34,063) | (58.2%) |
| CDFI Program | 4,258 | 4,120 | 4,203 | 83 | 2.0% |
| New Markets Tax Credit | 12,551 | 21,400 | 0 | (21,400) | (100.0%) |
| Bank Enterprise Award | 5,816 | 10,000 | 0 | (10,000) | (100.0%) |
| Native Initiatives | | | | | |

CDFI promotes economic revitalization and community development through investment in and assistance to community development financial institutions (CDFIs). CDFI funding is provided within the following budget activities:

CDFI Program:

- Provides federal resources to CDFIs investing in economic development (job creation, business development, and commercial real estate development), affordable housing, and financial services projects targeting underserved communities and low-income individuals

Bank Enterprise Award Program:

- Provides monetary awards to financial institutions for increasing community development activities in distressed communities throughout the nation
- Provides financial incentives to expand investments in CDFIs and increase lending, investment, and service activities within economically distressed communities

Native Initiatives:

- Comprises programs designed to overcome barriers preventing access to credit, capital and financial services in Native American, Alaska Native and Native Hawaiian communities

New Markets Tax Credit:

- Allocates tax credits to community development entities (CDEs), which in turn provide tax credits to private investors in exchange for equity investments in projects serving low-income communities
- Includes administrative expenses of the program

Departmental Offices (DO)



| | FY 2007 | FY 2008 | FY 2009 | | |
|--------------------------------------|-----------|-----------|--------------------|-------------------|----------------|
| | Enacted | Enacted | President's Budget | Increase/Decrease | Percent Change |
| Appropriation | | | | | |
| Salaries and Expenses | \$216,348 | \$248,360 | \$273,895 | \$25,535 | 10.3% |
| Executive Direction | 19,728 | 20,749 | 21,592 | 843 | 4.1% |
| Economic Policies and Programs | 38,393 | 44,242 | 45,853 | 1,611 | 3.6% |
| Financial Policies and Programs | 24,695 | 29,465 | 34,735 | 5,270 | 17.9% |
| Terrorism and Financial Intelligence | 47,540 | 56,775 | 61,712 | 4,937 | 8.7% |
| Treasury-wide Management | 16,748 | 18,505 | 19,009 | 504 | 2.7% |
| Administration Programs | 69,244 | 78,624 | 90,994 | 12,370 | 15.7% |

As the headquarters bureau of the Treasury Department, Departmental Offices (DO) is responsible for policy direction and formulation across the missions of the Department. DO funding is provided within the following budget activities:

Executive Direction:

- Provides direction and policy formulation to the Department, and interacts with Congress and the public
- Includes the Offices of the Secretary and Deputy Secretary, Executive Secretary, General Counsel, Legislative Affairs, and Public Affairs

Economic Policies and Programs:

- Monitors domestic and international economic conditions and collects and analyzes financial data
- Includes the Offices of the Assistant Secretary, Economic Policy and the Undersecretary, International Affairs, which oversees the Treasury Department's international presence and US participation in international financial institutions

DO (continued)



Financial Policies and Programs:

- Provides the strategic policy direction in the areas of domestic finance and tax policy
- Includes the Office of the Undersecretary of Domestic Finance, which provides strategic policy direction in the areas of financial regulation and banking, fiscal policy, tax policy and capital markets, as well as overseeing the new Office of Financial Stability, which will implement the Troubled Assets Recovery Program

Terrorism and Financial Intelligence:

- Develops and implements strategies to counter terrorist financing and money laundering
- Includes the Office of the Undersecretary, TFI which provides strategic policy direction to the bureaus of the Financial Crimes Enforcement Network and Executive Office of Asset Forfeiture, as well as the Offices of Terrorist Financing and Financial Crimes, Foreign Assets Control and Intelligence and Analysis

Treasury-wide Management:

- Provides policy direction to Treasury bureaus and offices in the areas of human resources, information technology, strategic planning and financial administration, including formulation and management of the budget

Administration Programs:

- Provides operational support and shared services, including accounting and budget, human resources, information technology, procurement, facilities support and travel, to all offices within DO

Department-wide Systems & Capital Investment Program (DSCIP)



| Appropriation | FY 2007 | FY 2008 | FY 2009 | | |
|---|----------|----------|--------------------|--------------------|----------------|
| | Enacted | Enacted | President's Budget | Increase/ Decrease | Percent Change |
| Department-wide Systems and Capital Investments Program | \$30,268 | \$18,710 | \$26,975 | \$8,265 | 44.2% |

DSCIP is authorized for use by or on behalf of Treasury bureaus at the Secretary's discretion, to modernize business processes and increase efficiency through technology investments. As a zero based account DSCIP funding is provided annually for specific investments. The FY 2009 request provides funding for the following projects:

Annex Repair and Renovation:

- Addresses the immediate need to repair the Treasury Annex Building, with long term plans for renovation

Treasury Secure Data Network (TSDN):

- Provides analysts with enhanced data search tools, and improved analysis

Cyber Security:

- Protects the security and integrity of Treasury's classified and unclassified systems, addresses weaknesses and conducts real-time security assessments

Enterprise Content Management (ECM):

- Enhances data management, increases efficiencies, reduces overall costs and allows for the retirement of legacy systems

E-Government:

- Leverages existing systems and services to reduce costs and duplication within Treasury and across government

Financial Crimes Enforcement Network (FinCEN)



| | FY 2007 | FY 2008 | FY 2009 | | |
|---------------------------------|----------|----------|--------------------|--------------------|----------------|
| | Enacted | Enacted | President's Budget | Increase/ Decrease | Percent Change |
| Appropriation | \$73,216 | \$85,844 | \$91,335 | \$5,491 | 6.4% |
| Salaries and Expenses | 64,780 | 76,889 | 82,157 | 5,268 | 6.9% |
| BSA Administration and Analysis | 8,436 | 8,955 | 9,178 | 223 | 2.5% |
| Regulatory Support Programs | | | | | |

FinCEN administers the Bank Secrecy Act (BSA), which requires financial institutions and other industries vulnerable to money laundering to file reports on certain types of financial activity and to establish appropriate internal controls to guard against money laundering, terrorist financing, and other types of illicit finance. FinCEN funding is provided within the following budget activities:

BSA Administration and Analysis:

- Funds activities related to the administration of the BSA, including promulgating regulations, providing guidance to the regulated industries, overseeing compliance, initiating enforcement actions, and analysis of BSA data
- Funds information technology investments related to data management

Regulatory Support Programs:

- Supports reimbursable agreements with the Internal Revenue Service for data processing, enabling FinCEN's activities to implement, strengthen and clarify the programmatic, recordkeeping and reporting requirements of the BSA

Financial Management Service (FMS)



| | FY 2007 | FY 2008 | FY 2009 | | |
|--|-----------|-----------|--------------------|-------------------|----------------|
| | Enacted | Enacted | President's Budget | Increase/Decrease | Percent Change |
| Appropriation | \$235,381 | \$234,423 | \$239,344 | \$4,921 | 2.1% |
| Salaries and Expenses | 148,408 | 145,977 | 147,445 | 1,468 | 1.0% |
| Payments | 17,434 | 19,804 | 21,481 | 1,677 | 8.5% |
| Collections | 5,029 | 0 | 0 | 0 | 0.0% |
| Debt Collection | 64,510 | 68,642 | 70,418 | 1,776 | 2.6% |
| Government-wide Accounting and Reporting | | | | | |

FMS, as the financial manager and principal fiscal agent for the federal government, manages the nations payments, collects money due to the United States. It is also responsible for central government-wide accounting and reporting. FMS funding is provided within the following budget activities:

Payments:

- Issues and distributes federal payments, develops and implements federal payment policy and procedures promotes the use of electronic transactions reconciliation, accounting and claims

Collections:

- Establishes and implements collection policies, regulations, standards and procedures for the federal government
- Manages the collection of revenues needed to operate the federal government, including federal, individual, and corporate income tax deposits, and other revenues

Debt Collection:

- Provides centralized debt collection. Oversight and operational services for delinquent government and child support debt as required by the Debt Collection Improvement Act of 1996 and related legislation

Government-wide Accounting and Reporting:

- Maintains the federal government's books and accounts for monetary assets and liabilities by operating and overseeing central accounting and reporting systems
- Establishes fiscal and debt management policies and monitor the government's financial status

Internal Revenue Service (IRS)



| | FY 2007 | FY 2008 | FY 2009 | | |
|--|--------------|--------------|--------------------|-------------------|----------------|
| | Enacted | Enacted | President's Budget | Increase/Decrease | Percent Change |
| Appropriation | \$2,138,238 | \$2,150,000 | \$2,150,000 | \$0 | 0.00% |
| Taxpayer Services | 576,537 | 645,375 | 617,326 | (28,049) | (4.35%) |
| Pre-filing Taxpayer Assistance and Education | 1,561,701 | 1,504,625 | 1,532,674 | 28,049 | 1.86% |
| Filing and Account Services | \$4,686,477 | \$4,780,000 | \$5,117,267 | \$337,267 | 7.06% |
| Enforcement | 576,785 | 593,794 | 603,466 | 9,672 | 1.63% |
| Investigations | 3,959,741 | 4,038,309 | 4,363,826 | 325,517 | 8.06% |
| Exam and Collections | 149,951 | 147,897 | 149,975 | 2,078 | 1.41% |
| Regulatory | \$3,544,835 | \$3,680,059 | \$3,856,172 | \$176,113 | 4.79% |
| Operations Support | 845,203 | 843,720 | 883,325 | 39,605 | 4.69% |
| Infrastructure | 1,179,216 | 1,170,686 | 1,243,703 | 73,017 | 6.24% |
| Shared Services and Support | 1,520,416 | 1,665,653 | 1,729,144 | 63,491 | 3.81% |
| Information Services | \$212,659 | \$267,090 | \$222,664 | (\$44,426) | (16.63%) |
| Business Systems Modernization | \$14,856 | \$15,235 | \$15,406 | \$171 | 1.12% |
| Health Insurance Tax Credit Administration | | | | | |
| Total Appropriated Resources | \$10,597,065 | \$10,892,384 | \$11,361,509 | \$469,125 | 4.31% |

IRS administers America's tax laws and collects the revenue that funds most federal government operations. IRS funding is provided in five appropriations:

- Taxpayer Services
- Enforcement
- Operations Support
- Business Systems Modernization
- Health Insurance Tax Credit Administration

Taxpayer Services (IRS)



| | FY 2009 | | | | |
|--|------------------------|------------------------|--------------------|-------------------|----------------|
| | FY 2007 | FY 2008 | President's Budget | Increase/Decrease | Percent Change |
| Appropriation | Enacted \$2,138,238 | Enacted \$2,150,000 | \$2,150,000 | \$0 | 0.00% |
| Taxpayer Services | 576,537 | 645,375 | 617,326 | (28,049) | (0) |
| Pre-filing Taxpayer Assistance and Education | 1,561,701 | 1,504,625 | 1,532,674 | 28,049 | 1.86% |
| Filing and Account Services | | | | | |

The Taxpayer Services appropriation assists taxpayers with understanding and meeting their tax obligations. Taxpayer Services funding is provided within the following budget activities:

Pre-filing Taxpayer Assistance and Education:

- Assists taxpayers with tax return preparation, including tax law interpretation, publication production, and advocate services

Filing and Account Services:

- Provides filing and account services to taxpayers, processes paper and electronically submitted tax returns, issues refunds, and maintains taxpayer accounts

Enforcement (IRS)



| | FY 2007 | FY 2008 | FY 2009 | | |
|----------------------|-------------|-------------|--------------------|-------------------|----------------|
| | Enacted | Enacted | President's Budget | Increase/Decrease | Percent Change |
| Appropriation | \$4,686,477 | \$4,780,000 | \$5,117,267 | \$337,267 | 7.06% |
| Enforcement | 576,785 | 593,794 | 603,466 | 9,672 | 1.63% |
| Investigations | 3,959,741 | 4,038,309 | 4,363,826 | 325,517 | 8.06% |
| Exam and Collections | 149,951 | 147,897 | 149,975 | 2,078 | 1.41% |
| Regulatory | | | | | |

The Enforcement appropriation deters taxpayers inclined to evade their responsibilities while vigorously pursuing those who violate tax laws. Enforcement funding is provided within the following budget activities:

Investigations:

- Investigates potential criminal violations of internal revenue tax laws, enforces criminal statutes relating to these violations, and recommends prosecution as warranted
- Identifies and documents the movement of both legal and illegal sources of income to identify and document cases of suspected intent to defraud
- Investigates and prosecutes tax/money laundering violations associated with narcotics organizations

Exam and Collections:

- Enforces the tax laws and compliance through examination and collection programs that ensure proper payment and tax reporting
- Supports appeals and litigation activities associated with exam and collection

Regulatory:

- Develops IRS guidance materials; interpretation of tax laws; advice on rulings and agreements; enforcement of regulatory rules, laws, and approved business practices; and supporting taxpayers in the areas of pre-filing agreements, determination letters, and advance pricing agreements

Operations Support (IRS)



| | FY 2007 | FY 2008 | FY 2009 | | |
|-----------------------------|-------------|-------------|--------------------|-------------------|----------------|
| | Enacted | Enacted | President's Budget | Increase/Decrease | Percent Change |
| Appropriation | \$3,544,835 | \$3,680,059 | \$3,856,172 | \$176,113 | 4.79% |
| Operations Support | 845,203 | 843,720 | 883,325 | 39,605 | 4.69% |
| Infrastructure | 1,179,216 | 1,170,686 | 1,243,703 | 73,017 | 6.24% |
| Shared Services and Support | 1,520,416 | 1,665,653 | 1,729,144 | 63,491 | 3.81% |
| Information Services | | | | | |

The Operations Support appropriation provides overall planning, direction, and support for the IRS. Operations Support funding is provided within the following budget activities:

Infrastructure:

- Provides administrative services related to space and housing, rent and space alterations, building services, maintenance, guard services, and non-Automated Data Processing (ADP) equipment

Shared Services and Support:

- Provides policy and management of IRS-wide research, strategic planning, communications and liaison, finance, human resources, and equal employment opportunity and diversity services and programs
- Funds printing and postage, business systems planning, security, corporate training, legal services, procurement, and specific employee benefits programs

Information Services:

- Funds staffing, equipment, and related costs to manage, maintain, and operate information systems critical to the support of tax administration programs

Business Systems Modernization (IRS)



| | FY 2007 | | FY 2008 | | FY 2009 | |
|--------------------------------|-----------|-----------|-----------|-----------|-----------------------|----------------------------|
| | Enacted | Budget | Enacted | Budget | Increase/ Decrease | Percent Change (\$0) |
| Appropriation | \$212,659 | \$222,664 | \$267,090 | \$222,664 | -\$44,426 | |
| Business Systems Modernization | | | | | | |

The Business Systems Modernization appropriation funds the planning and capital asset acquisition of information technology to modernize the IRS business systems, including labor (salaries and expense dollars) and related contractual costs.

Health Insurance Tax Credit Administration (IRS)



| | | FY 2009 | | | |
|--|---------------------|---------------------|--------------------|-------------------|----------------|
| | FY 2007 | FY 2008 | President's Budget | Increase/Decrease | Percent Change |
| Appropriation | Enacted \$14,856 | Enacted \$15,235 | \$15,406 | \$171 | 1.12% |
| Health Insurance Tax Credit Administration | | | | | |

The Health Insurance Tax Credit Administration appropriation funds costs to administer a refundable tax credit for health insurance to qualified individuals, which was enacted as part of the Trade Adjustment Assistance Reform Act of 2002.

Office of Inspector General (OIG)



| | FY 2007 | | FY 2008 | | FY 2009 | |
|-----------------------|----------|--|----------|--------------------|-------------------|----------------|
| | Enacted | | Enacted | President's Budget | Increase/Decrease | Percent Change |
| Appropriation | \$16,957 | | \$18,450 | \$19,356 | \$906 | 4.9% |
| Salaries and Expenses | 11,639 | | 12,658 | 13,280 | 622 | 4.9% |
| Audit | 5,318 | | 5,792 | 6,076 | 284 | 4.9% |
| Investigations | | | | | | |

OIG conducts and supervises audits and investigations of Treasury programs and operations and makes recommendations to promote economy, efficiency, and effectiveness within Treasury. OIG programs also prevent, report, and detect fraud, waste, and abuse within the Department. OIG is funded within the following budget activities:

Audits

- Audits Treasury programs including those mandated by Treasury officials and Congress to identify significant cost savings

Investigations

- Prevents, detects, and investigates complaints of fraud, waste, and abuse. Cases are referred to the Department of Justice and state or local prosecutors for criminal prosecution or civil litigation, or to agency officials for corrective administrative action

Inspector General for Tax Administration (TIGTA)



| | FY 2007 Enacted | FY 2008 Enacted | FY 2009 | | |
|-----------------------|--------------------|--------------------|-----------------------|------------------------|-------------------|
| | | | President's Budget | Increased/ Decrease | Percent Change |
| Appropriation | \$132,861 | \$140,533 | \$145,736 | \$5,203 | 3.7% |
| Salaries and Expenses | 50,260 | 52,959 | 55,055 | 2,096 | 4.0% |
| Audit | 82,601 | 87,574 | 90,681 | 3,107 | 3.5% |
| Investigations | | | | | |

TIGTA promotes economy, efficiency, and integrity within the IRS, concentrating on improving the integrity of IRS operations by deterring fraud, waste, and abuse or misconduct by IRS employees. TIGTA also addresses risk through modernization of operations, the tax gap, and enforcement issues. TIGTA funding is provided through the following budget activities:

Audits

- Provides comprehensive coverage and oversight of IRS daily operations, with a focus on economy, efficiency, and protection of the taxpayers' rights
- Provides recommendations for:
 - Cost savings and increased or protected revenue
 - Reduction of taxpayer burden
 - Protection of taxpayer rights and entitlements, taxpayer privacy and security
 - Protection of IRS resources

Investigations

- Investigates all allegations of criminal violations and misconduct involving the IRS in three core areas designed to protect integrity:
 - Employee integrity
 - Employee and Infrastructure Security
 - External Attempts to Corrupt Tax Administration



Non-Appropriated Accounts

Bureau of Engraving and Printing (BEP)



| | FY 2007 | FY 2008 | FY 2009 | | |
|---|-----------|-----------|-----------|-----------------------|-------------------|
| | Obligated | Estimated | Estimated | Increase/ Decrease | Percent Change |
| Budget Activity | | | | | |
| Bureau of Engraving and Printing | \$556,000 | \$531,000 | \$559,500 | \$28,500 | 5.4% |
| Manufacturing | 493,000 | 469,000 | 497,500 | 28,500 | 6.1% |
| Protection and Accountability of Assets | 63,000 | 62,000 | 62,000 | 0 | 0.0% |

BEP is financed by a revolving fund which is reimbursed through sales of United States currency and other security documents for direct and indirect costs of operations including administrative expenses. BEP is also authorized to price its products to cover capital investments and working capital requirements. BEP funding is provided within the following budget activities:

Manufacturing:

- Manufactures high quality security documents that deter counterfeiting
- Products are grouped as Federal Reserve notes and other security documents

Protection and Accountability of Assets:

- Employs BEP Police to protect assets including facilities and the workforce
- Using proper policies and procedures, and coordinating as needed with federal, state and local law enforcement agencies

Office of the Comptroller of the Currency (OCC)



| Budget Activity | FY 2007 | FY 2008 | FY 2009 | | |
|---|-----------|-----------|-----------|-----------------------|-------------------|
| | Obligated | Estimated | Estimated | Increase/ Decrease | Percent Change |
| Office of the Comptroller of the Currency | \$638,433 | \$749,100 | \$810,872 | \$61,772 | 8.2% |
| Supervise | 528,622 | 625,582 | 675,780 | 50,198 | 8.0% |
| Regulate | 91,296 | 98,669 | 108,414 | 9,745 | 9.9% |
| Charter | \$18,515 | \$24,849 | \$26,678 | \$1,829 | 7.4% |

Created by Congress, OCC charters and oversees the nationwide banking system to ensure its resiliency for the nation. OCC assessments levied on national banks provides funding the following budget activities:

Supervise:

- Assures that each national bank is operating in a safe and sound manner and complying with applicable laws, rules, and regulations relative to the bank and the customers it serves

Regulate:

- Establishes policies, provides operating guidance and general applicability to national banks with the intent to establish system-wide practices, provides guidance on risks and responsibilities facing national banks, or prohibits/restricts banking practices that are deemed to be imprudent or unsafe

Charter:

- Evaluates the permissibility of structures and activities of national banks and their subsidiaries to include the review and approval of new national bank charters, federal branches and agencies, mergers, acquisitions, conversions, business combinations, corporate reorganizations, changes in control, operating subsidiaries, branches, relocations, and subordinated debt issues

Office of Thrift Supervision (OTS)



| Budget Activity | FY 2007 | FY 2008 | FY 2009 | | |
|------------------------------------|-----------|-----------|-----------|-----------------------|-------------------|
| | Obligated | Estimated | Estimated | Increase/ Decrease | Percent Change |
| Supervision of the Thrift Industry | \$232,500 | \$245,500 | \$251,638 | \$6,138 | 2.5% |

OTS supervises savings associations and their holding companies to maintain their safety, soundness and compliance with consumer laws and to encourage a competitive industry that meets the nation's financial needs. Revenue, primarily from OTS assessments on savings associations and savings and loan holding companies provides funding within the following budget activity:

Supervision of the Thrift Industry:

- Examines savings associations every 12-18 months for safety and soundness and compliance with consumer protection laws and regulations
- Identifies, measures, monitors, and controls risk, including the risk posed by other entities within the corporate structure

United States Mint



| | FY 2007 | FY 2008 | FY 2009 | | |
|---|-------------|-------------|-------------|-----------------------|-------------------|
| | Obligated | Estimated | Estimated | Increase/ Decrease | Percent Change |
| Budget Activity | | | | | |
| United States Mint | \$1,814,208 | \$2,175,326 | \$2,125,816 | (\$49,510) | (2.3%) |
| Manufacturing | 1,770,265 | 2,129,806 | 2,079,192 | (50,614) | (2.4%) |
| Protection and Accountability of Assets | 43,943 | 45,520 | 46,624 | 1,104 | 2.4% |

The United States Mint manufactures and delivers domestic circulating and numismatic coinage and bullion products. It also provides security for assets, including the government's stock of gold bullion, silver bullion, coins and coinage metal. Sales of circulating coins to the Federal Reserve Banks and numismatic items to the public fund the United States Mint's Public Enterprise Fund for the following budget activities:

Manufacturing:

- Manufactures and sells coin products:
 - Circulating Coinage
 - 50 State Quarters
 - Numismatic

Protection and Accountability of Assets:

- Secures over \$100 billion in market value of the nation's gold reserves, silver and other assets
- Employs U.S. Mint Police to protect assets including facilities and the workforce
- Using the proper policies and procedures in the production and transport of coinage, and coordinating as needed with federal, state and local law enforcement agencies

Alix, Cathy

From: Dick, Denise
Sent: Tuesday, December 16, 2008 12:32 PM
To: Alix, Cathy
Subject: Mgmt Awards

Cathy – this is the final list I have from management (and the award) for you to include in your ceremony in addition to your politicals.

(b) (5)



Alix, Cathy

(b) (5)



Let me know if you have any questions.
Thanks.
Denise

(b) (5)



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May 12, 2008

The Honorable Henry Paulson
Secretary of Treasury
1500 Pennsylvania Avenue NW
Washington, DC 20220

Dear Secretary Paulson:

The Subcommittee on Government Management, Organization and Procurement has jurisdiction over the Presidential Transition Act and is conducting oversight of the preparations for the upcoming transition. As you know, to prepare for this year's upcoming presidential transition, agencies must appoint officials to be responsible for the agencies' continued performance, including the performance of national essential functions in the event of a catastrophic emergency. Under the Presidential Transition Act, these officials should also be prepared to brief the incoming Administration on current problems and challenges as well as effective strategies for governance.

Accordingly, the Subcommittee requests information on the Department of Treasury's plans for interim operations during the presidential transition. Specifically, we request answers to the following questions:

(b) (5)

1) Have officials been designated to lead Treasury and each of its bureaus and offices during the transition? If so, please name these officials. If not, please describe your plan and timetable for designating such officials.

2) How is Treasury preparing to brief the incoming Administration?

3) How is the planning for the upcoming transition integrated with Treasury's existing continuity of operations planning (COOP)?

The Committee on Oversight and Government Reform is the principal oversight committee in the House of Representatives and has broad oversight jurisdiction as set forth in House rule X. If you have any questions, please contact Bill Jusino of the Subcommittee staff at (202) 225-3741.

Sincerely,

A handwritten signature in black ink, appearing to read 'Edolphus Towns', written over a horizontal line.

Edolphus Towns
Chairman
Subcommittee on Government Management,
Organization, and Procurement

cc: Rep. Brian Bilbray
Ranking Minority Member

[illegible]

Alix, Cathy

From: Granat, Rochelle
Sent: Friday, July 11, 2008 1:39 PM
To: Froehlich, Carl; Thomas, James; Alix, Cathy
Cc: McCarthy, Peter
Subject: RE: Transition deliverables (draft)

(b) (5)



Rochelle F. Granat
Deputy Assistant Secretary for Human Resources
and Chief Human Capital Officer
Department of the Treasury
202-622-6052

From: Froehlich, Carl
Sent: Monday, July 07, 2008 10:38 AM
To: Granat, Rochelle; Thomas, James; Alix, Cathy
Cc: McCarthy, Peter
Subject: Transition deliverables (draft)

All,

Following up from our meeting last week, attached is a draft product to identify departing political appointee deliverables. Please review and comment on missing elements or other suggestions.

(b) (5)



Carl

Carl T. Froehlich
Treasury Department
202 622-2658

7/11/2008

Alix, Cathy

From: Schmader, Catherine
Sent: Friday, July 18, 2008 10:57 AM
To: DeLuca, Laura; Minor, Mario; Coleman, Sherri; Granat, Rochelle; Alix, Cathy
Cc: Coachman-Steward, Rhonda; Cannon, Dennis; Marshall, Stephanie; Nalli, Christine; Barnes, Shalamar; Hastings, Rick; Crawford, Tonya; Hyland, Jim
Subject: Ethics Training Attendance
Importance: High
Attachments: Attended Ethics Training.xls

(b) (5)



Outside of DO, the following have also attended training:

(b) (5)



(b) (5)



Attended Ethics
Training.xls (...)

*Catherine R. Schmader
Executive Resources Program Manager
Department of the Treasury
Human Capital Strategic Management
Phone: 202-622-0396
Fax: 202-622-2278*

Alix, Cathy

From: Knight, Bernard Jr.
Sent: Monday, July 14, 2008 5:34 PM
To: Alix, Cathy
Cc: Cohen, Heidi
Subject: RE: First Assistants

(b) (5)



Bernard J. Knight, Jr.
Assistant General Counsel
(General Law, Ethics & Regulation)
and Designated Agency Ethics Official
U.S. Department of Treasury
Phone: 202-622-1137
Fax: 202-622-1176

From: Alix, Cathy
Sent: Monday, July 14, 2008 4:25 PM
To: Knight, Bernard Jr.
Subject: FW: First Assistants

(b) (5)



Cath

Cathy D. Alix
Senior Advisor to the ASM/CFO
Department of the Treasury
Main Treasury
Phone: 202.622.1030

From: Granat, Rochelle
Sent: Wednesday, April 16, 2008 12:13 PM
To: Alix, Cathy
Subject: FW: First Assistants

Here is the current state. Cathy will be working with OGC to make sure it is updated. Footnotes may not show up on screen, but they do when you print. Also, I have copies of documents referenced in the far right column if you want.

Rochelle F. Granat
Deputy Assistant Secretary for Human Resources
and Chief Human Capital Officer
Department of the Treasury
202-622-6052

From: Schmader, Catherine

Alix, Cathy

From: McCarthy, Peter
Sent: Friday, June 20, 2008 1:52 PM
To: Wilkinson, Jim
Cc: Alix, Cathy
Subject: FW: Transition Meeting Attendance

Jim--
You asked for recommendations for the initial transition meeting. Here's our list.
Pete

From: Alix, Cathy
Sent: Friday, June 20, 2008 1:51 PM
To: McCarthy, Peter
Subject: Transition Meeting Attendance

(b) (5)



Cathy D. Alix
Senior Advisor to the Assistant Secretary for
Management/Chief Financial Officer
Department of the Treasury
Main Treasury
Phone: 202.622.1030

Adams, Shanda

From: Coffman, Robert
Sent: Monday, September 08, 2008 1:08 PM
To: Adams, Shanda; Wright, Lillian; Knight, Bernard Jr.
Cc: Cannon, Dennis
Subject: RE: Guidelines/Information for Farewell Events, exiting mementos, etc.

My office is in the process of putting together a transition book on items such as that, but do not have it ready yet.

Rob Coffman, CGMP
Office of Conference, Event & Meeting Services
Department of the Treasury

From: Adams, Shanda
Sent: Monday, September 08, 2008 1:06 PM
To: Coffman, Robert; Wright, Lillian; Knight, Bernard Jr.
Cc: Cannon, Dennis
Subject: Guidelines/Information for Farewell Events, exiting mementos, etc.

Good Afternoon,

(b) (5)



Thank you for your time and effort.

Shanda Adams
Human Resources Assistant
Department of the Treasury
Human Capital Strategic Management
Phone: 202-622-4178
Fax: 202-622-3454

Adams, Shanda

From: Briskin, Michael
Sent: Monday, September 08, 2008 1:35 PM
To: Adams, Shanda
Subject: FW: Guidelines/Information for Farewell Events, exiting mementos, etc.

(b) (5)



Mike

From: Knight, Bernard Jr.
Sent: Monday, September 08, 2008 1:12 PM
To: Briskin, Michael
Cc: Lepley, Richard
Subject: FW: Guidelines/Information for Farewell Events, exiting mementos, etc.

Mike,

Can you please assist Shanda?

Bernard J. Knight, Jr.
Assistant General Counsel
(General Law, Ethics & Regulation)
and Designated Agency Ethics Official
U.S. Department of Treasury
Phone: 202-622-1137
Fax: 202-622-1176

From: Adams, Shanda
Sent: Monday, September 08, 2008 1:06 PM
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(b) (5)



(b) (5)



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*Shanda Adams
Human Resources Assistant
Department of the Treasury
Human Capital Strategic Management
Phone: 202-622-4178
Fax: 202-622-3454*

Cannon, Dennis

From: Thomas, James
Sent: Monday, September 08, 2008 12:26 PM
To: Cannon, Dennis
Cc: Lewis, Mike
Subject: FW: Transition Background

Dennis,

(b) (5)



Jim

From: Lewis, Mike
Sent: Monday, September 08, 2008 12:22 PM
To: Thomas, James
Subject: RE: Transition Background

Ok, yes you're going back some.

(b) (5)



Mike Lewis
Sr. Advisor to the Assistant Secretary for Management/CFO
Department of the Treasury
1500 Pennsylvania Ave. Room 2426
Washington, DC
(202) 622-3068

From: Thomas, James
Sent: Monday, September 08, 2008 12:12 PM
To: Lewis, Mike
Subject: RE: Transition Background

Regulation – so quickly we forget.

Don't we have a DO Directive on this?

From: Lewis, Mike
Sent: Monday, September 08, 2008 12:11 PM
To: Thomas, James
Subject: RE: Transition Background

What's the what?

Mike Lewis
Sr. Advisor to the Assistant Secretary for Management/CFO
Department of the Treasury
1500 Pennsylvania Ave. Room 2426
Washington, DC
(202) 622-3068

From: Thomas, James
Sent: Monday, September 08, 2008 12:09 PM
To: Lewis, Mike
Subject: FW: Transition Background

Mike,

What the reg?

Jim

From: Cannon, Dennis
Sent: Monday, September 08, 2008 11:43 AM
To: Thomas, James
Subject: Transition Background

Jim,
(b) (5)



Thanks,

*Dennis Cannon
Director, Office of HC Strategic Management
Office of the Deputy Assistant Secretary
for Human Resources/CHCO
(202) 622-1109
FAX: (202) 622-3454*

Alix, Cathy

From: Duffy, Michael
Sent: Tuesday, September 16, 2008 7:40 AM
To: Alix, Cathy; Thomas, James
Cc: Granat, Rochelle; Swartz, Richard; Schultz, Rory
Subject: Fw: [CIO-COUNCIL] Presidential Transition Team - 09/26/2008

Cathy - I need a sense of how folks want me to respond to the incoming below. We are being asked to decide how we are going to support incoming transition team personnel. Each of these options has pros and cons.

Rory/Rick: please get back to me with what supply of DO LAN laptops and BBs we can have on hand by Nov-1 if we choose to host PTT parachute teams on DO LAN. Also, how quickly could we install 2 dozen DSL drops.

Jim T: do you have space in MTB or Annex identified for the transition teams? My folks will need to ensure appropriate comm capability very soon.

MDD

From: CIO-COUNCIL
To: CIO-COUNCIL@LISTSERV.GSA.GOV
Sent: Tue Sep 16 07:04:22 2008
Subject: [CIO-COUNCIL] Presidential Transition Team - 09/26/2008

The following is sent on behalf of Karen Evans, OMB, for Ed O'Hare, GSA.

The General Services Administration (GSA) is authorized to provide logistical support for the transition of the Office of the President-elect of the United States. The facilities and services that GSA provides to the Presidential Transition Team (PTT) are similar to that provided to all GSA customers, including office space, telecommunications, information technology (IT) services and equipment, and furnishing supplies. The IT support specifically includes data and voice networks, back office infrastructure, and end-user infrastructure to include PTT laptops and blackberry devices.

The PTT may include "parachute" teams, who will work within your agency to begin learning about your agency. In many cases, this will be the new administration's first impression of your agency. They will require office space and typical IT equipment and services such as email and internet access. These parachute team members are likely not to be government employees and may not have HSPD-12 credentials. The following options are presented for providing IT support for the parachute team members while they are working in your agency:

1. Each agency provides all IT equipment and services to the parachute team.
2. The parachute team can use the GSA-provided laptop and services, but the agency will need to provide internet access in the space you provide. The internet access should allow

(b) (5)



ASSISTANT SECRETARY

DEPARTMENT OF THE TREASURY
WASHINGTON, D.C.

August 22, 2008

The Honorable Edolphus Towns
Chairman
Subcommittee on Government Management,
Organization, and Procurement
Committee on Oversight and Government Reform
U.S. House of Representatives
Washington, DC 20515-6143

Dear Mr. Chairman:

During Secretary Paulson's tenure with the Department of the Treasury, he has made effective management a key pillar of his tenure. The Secretary has instituted management reforms at the Department that not only improve effectiveness and efficiency, but also provide flexibility that allows the Department to be responsive to world events and capital market challenges. The Secretary considers the upcoming transition to be of the utmost importance and is committed to providing the new Administration with a seamless transition.

In response to your first question, Secretary Paulson has appointed Jim Wilkinson, Chief of Staff to the Secretary, to lead the transition effort at the Department of the Treasury. Mr. Wilkinson has significant transition experience, having personally participated in other Cabinet transitions. His partners in this endeavor are Peter McCarthy, Assistant Secretary for Management and Chief Financial Officer, and Ken Carfine, Fiscal Assistant Secretary. Mr. McCarthy brings many years of experience that will benefit our preparation as well as having accomplished many management reforms, along with his team, during his tenure at the Department. Mr. Carfine is a highly respected Treasury career senior official bringing 35 years of Department experience to the effort and rounding out Treasury's integrated approach to the presidential transition.

Regarding Treasury's preparations for briefing the incoming administration, the Department will prepare comprehensive briefing materials on the Department's basic organization, mission and performance goals, and key personnel. The Department will also identify and summarize the policy, internal management, legal, and infrastructure issues that require immediate attention by the new Administration officials. These materials are expected to be completed by November 1, 2008. In order to facilitate the on-boarding of new employees in a timely and orderly fashion, the Department will provide work tools, new employee briefings, badges, computers, blackberries, parking, work spaces, access to secure areas, ethics briefings, etc. The Department expects to have these work tools and orientation vehicles ready for implementation by January 20, 2009.

Finally, the Department will ensure that all COOP and NRF procedures are tested and the senior career officials who have been designated to lead Treasury during the transition fully understand these procedures and responsibilities no later than November 1, 2008.

Please call me if you require any additional information regarding Treasury's plans for the upcoming transition.

Sincerely,

A handwritten signature in dark ink, appearing to read "Kevin I. Fromer", with a stylized flourish at the end.

Kevin I. Fromer
Assistant Secretary for Legislative Affairs

Clearance Sheet (Response to Chairman Towns re: PTA)

Drafted: Cathy Alix, Senior Advisor/ASM – ext. 2-1030
Approved: Peter B. McCarthy, Assistant Secretary for Management/CFO, ext. 2-0410
Cleared: Deputy Exec Sec – Jeff Chapman OK w/edit (8/19/08)
PA – Courtney Forsell OK (8/19/08)
LA – Peter Dugas OK w/edits (8/19/08)
Deputy Secretary – Steve Myrow OK w/edit (8/20/08)
Chief of Staff – Jim Wilkinson OK w/edits (8/18/08)
GC – Dustin Palmer – ok w/edits and one question
8/20/08

Action Memo Delivery Instructions

- ☒ Return to policy office for delivery
- ☐ Deliver through the Executive Secretary (include specific instructions below)
- ☐ Other (see below)

Specific delivery instructions:

Message

Alix, Cathy

From: Alix, Cathy
Sent: Thursday, September 11, 2008 2:55 PM
To: Granat, Rochelle; Thomas, James; Froehlich, Carl; Duffy, Michael; Wolslayer, Kelly; Foster, Wesley; LaRue, Pamela
Subject: FW: McCarthy Transition Notebook
Attachments: Roles of the ASMCFO FINAL.doc; ASM Documents.doc; ASM Org Chart.ppt; Updated FY06-08 Budget Snapshot ASM.xls; DASHR CHCO.doc; DASHR CHCO.ppt; DASMB.doc; DASMB.ppt; DCFO.doc; DCFO.ppt; HQ Ops.doc; OCIO.doc; OCIO.ppt; OPE.doc; OPE.ppt; BureauHead.xls; Bureau Heads Bios.doc; Executive Summary.doc.rtf; EP.doc; EP.ppt

Per our discussion this morning at the Transition meeting, attached is the last ASM Transition Notebook (from when Pete joined). We have had the ASM reorg since then, so we'll need to reconfigure a bit – but this should give you an idea.

Cathy D. Alix
 Senior Advisor to the ASM/CFO
 Department of the Treasury
 Main Treasury
 Phone: 202.622.1030

From: Lewis, Mike
Sent: Thursday, September 11, 2008 1:24 PM
To: Alix, Cathy
Subject: McCarthy Transition Notebook

These are not in any particular order obviously. I may have the hard copy too.

Mike Lewis
 Sr. Advisor to the Assistant Secretary for Management/CFO
 Department of the Treasury
 1500 Pennsylvania Ave. Room 2426
 Washington, DC
 (202) 622-3068

9/23/2008

FW: Keys to the Treasury

Alix, Cathy

From: Adams, Shanda
Sent: Tuesday, September 23, 2008 1:35 PM
To: Alix, Cathy; Nalli, Christine
Subject: Price Quotes Keys to the Treasury

The quotes are listed below for the first print batch. I still need to get a cost on future prints from the digital format. Hopefully we can present these numbers and get an ok to proceed today.

See you soon,

*Shanda Adams
Human Resources Assistant
Department of the Treasury
Human Capital Strategic Management
Phone: 202-622-4178
Fax: 202-622-3454*

From: McCracken, Keith
Sent: Tuesday, September 23, 2008 11:53 AM
To: Adams, Shanda
Cc: Huegelmeyer, Ann
Subject: FW: Keys to the Treasury

Shanda,

Please see below for estimates (please remember these are estimates and will be competitively bid; other factors like lack of lead time may increase costs):

----- Forwarded Message
From: "Decker, Tina" <Tina.Decker@do.treas.gov>
Date: Tue, 23 Sep 2008 11:12:05 -0400
To: "McCracken, Keith" <Keith.McCracken@do.treas.gov>
Cc: "Huegelmeyer, Ann" <Ann.Huegelmeyer@do.treas.gov>
Conversation: Keys to the Treasury
Subject: RE: Keys to the Treasury

Keith and Ann,

We need to have the first set of booklets completed by Oct. 15, 2008. There will be a meeting on the 23rd of September where we will discuss quantity and binding options.

Now that we have the number of pages, we need to get quotes for the following options:

Copies made with bleed tabs and fastened with staples:
500- \$ 4190.00
1000- \$4795.00

9/23/2008

FW: Keys to the Treasury

1500- \$5397.00

Copies made with bleed tabs and fastened with plastic spiral binding:

500- \$4238.00

1000- \$4895.00

1500- \$5552.00

Tina

----- End of Forwarded Message

9/23/2008

CHECKLIST FOR ARRIVING APPOINTEES AND HELPFUL INFORMATION

CHECKLIST FOR ARRIVAL

☐ HUMAN RESOURCES

POC – Vernetta Wilkins, 622-1069 (Vernetta will schedule a specific time for you to meet with a HR Specialist)

Human Resources is the point of contact for leave, retirement, insurance, health benefits, thrift savings plan, etc. The HR office has a comprehensive package which contains related forms and detailed information to simplify your arrival process.

☐ ETHICS

POC – Bernie Knight, 622-1137

An incoming ethics briefing is suggested. The ethic attorney will brief you on financial disclosure paperwork (such as a final SF 278) and the Hatch Act.

☐ BADGE

POC – United States Secret Service, 622-1112

The USSS will contact you after your arrival to schedule a time for a badge photo. The process to obtain a badge usually takes a week.

☐ EQUIPMENT

POC – Your Division's Admin Contact

The Management Division will assist your Administrative Contact in obtaining equipment (such as computers and desk phones), laptops, blackberries, cell phones, keys, parking permits, access badges, credit cards, etc.

☐ SECURITY

POC – Larry Marlow, 622-1837

Appointees needing to acquire a security clearance need to contact Treasury's Special Security Officer.

☐ DOCUMENTS & RECORDS

POC – Office of Records Management, 622-0790

It is important (especially for appointees in senior leadership positions) to understand which documents and records can be taken with you upon departure. Contact Records Management for more information.

☐ IT

POC – DO IT Service Desk, 622-1111

For all IT, Computer or Blackberry related issues you can call the DO IT Service Desk at 622-1111 or email help.desk@do.treas.gov.

☐ BUILDING SERVICES

POC – Building Services Help Desk, 622-1350

For all building services, such as moving, repairs, framing contact the Building Services Help Desk at 622-1350 or email FacilitiesServiceDesk@do.treas.gov.

HELPFUL INFORMATION

☐ GYM

The Treasury Gym is located in the basement of Main Treasury. Open 24 hours a day. Locker rooms with towel service are available. The woman's locker room is accessible only by key code. Please contact 622-2358 to receive the code.

☐ VAULT CAFETERIA

The Vault Cafeteria is located on the first floor of Main Treasury. Breakfast is served from 7:00am- 9:00am, Lunch is served from 11:00am- 2:30pm, and the Coffee shop is open until 4:00pm.

☐ TREASURY DINING ROOM

POC – Ador Carreon, 622-2065

The Treasury Dining Room provides exquisite dining experiences for the Secretary of the Treasury, as well as officials at the Deputy Secretary, Under Secretary, Assistant Secretary, Deputy Assistant Secretary and Bureau Heads, and all equivalent levels. The Treasury Dining Room is located on the 2nd floor of Main Treasury and serves breakfast and lunch from 8am -2pm.

☐ MAIL ROOM

POC – Mail Room, 622-1650

For all mailing services contact the mail room at 622-1650. Interoffice scheduled mail deliveries and pickups for Main Treasury are 9:00am, 11:30am, 1:30pm and 3:00pm. daily. Outgoing mail for USPS is sorted and processed for pickup by 3:45pm daily. Special mail (red tagged items) is delivered to outside agencies etc. twice daily at 10:00am and 3:00pm with priority given to the Secretary, Deputy Secretary and Undersecretaries offices. For messenger services to outside Agencies please contact Preston Dyson and Maurice Miller at 622-1650.

☐ **TREASURY DEPARTMENT FEDERAL CREDIT UNION**

POC – 1-800-344-4497

The Treasury Department Federal Credit Union is located in the Treasury Annex. For more information or to join you can visit www.tdfcu.org or call 1-800-344-4497.

☐ **TREASURY DEPARTMENT RECREATION ASSOCIATION- BUSINESS CARDS**

POC – Barry Stevens, 622- 2123

The Treasury Department TDRA provides a business card and social printing service and operates a Catalog Store of Treasury Department logo items where members receive discounts. It is located in the basement level of Main Treasury. For business card orders you can visit <http://www.recgov.org/treasury>.

☐ **PRINTING DIVISION**

POC – Printing and Graphics Division 622-1438

The Printing Division has the ability to produce a variety of documents. They are located in the Treasury Annex Room SB-12.

☐ **GRAPHICS DIVISION**

POC –Graphics Division 622-2160

The Graphics Division has the ability to produce flyers, brochures, color copies or photographs. They are located in the Treasury Annex Room B-39.

☐ **PHOTOGRAPHIC SERVICES**

POC –Chris Taylor 622-2621

The Treasury Photographer can assist with photographing events for the Secretary or Treasury Senior Staff. Please contact Photographer Chris Taylor at 622-2621.

☐ **CLEARING VISITORS INTO THE BUILDING**

POC –USSS, 962-6720

To clear visitors into Main Treasury and the Treasury Annex you need to provide the date of birth and social security number to the Secret Service. Enter this information only on the Treasury intranet at <http://home.do.treas.gov/appointments/>.

☐ **PARKING/METRO CHECKS**

POC –Administrative Contact/Veris Bailey, 622-6333

Each office is allotted a specific number of parking spots. To obtain a parking spot you can speak with your administrative contact. If you do not receive a parking spot you are eligible to participate in the Metro Benefit Program. Contact Veris Baley for more information on the program.

☐ **SUPPLIES**

POC –Administrative Contact

To obtain office supplies you can ask your administrative contact. Your office contact will be able to order you the needed supplies.

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POC – Vernetta Wilkins, 622-1069 (Vernetta will schedule a specific time for you to meet with a HR Specialist)
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POC – Bernie Knight, 622-1137
An incoming ethics briefing is suggested. The ethic attorney will brief you on financial disclosure paperwork (such as a final SF 278) and the Hatch Act.

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POC – United States Secret Service, 622-1112
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POC – Your Division's Admin Contact

The Management Division will assist your Administrative Contact in obtaining equipment (such as computers and desk phones), laptops, blackberries, cell phones, keys, parking permits, access badges, credit cards, etc.

☐ SECURITY

POC – Larry Marlow, 622-1837

Appointees needing to acquire a security clearance need to contact Treasury's Special Security Officer.

☐ DOCUMENTS & RECORDS

POC – Office of Records Management, 622-0790

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☐ IT

POC – DO IT Service Desk, 622-1111

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HELPFUL INFORMATION

☐ GYM

The Treasury Gym is located in the basement of Main Treasury. Open 24 hours a day. Locker rooms with towel service are available. The woman's locker room is accessible only by key code. Please contact 622-2358 to receive the code.

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☐ TREASURY DINING ROOM

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☐ **TREASURY DEPARTMENT FEDERAL CREDIT UNION**

POC – 1-800-344-4497

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POC – Barry Stevens, 622- 2123

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POC – Printing and Graphics Division 622-1438

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POC –Administrative Contact/Veris Bailey, 622-6333

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CHECKLIST FOR ARRIVING APPOINTEES AND HELPFUL INFORMATION

CHECKLIST FOR ARRIVAL

☐ HUMAN RESOURCES

POC – Vernetta Wilkins, 622-1069 (Vernetta will schedule a specific time for you to meet with a HR Specialist)
Human Resources is the point of contact for leave, retirement, insurance, health benefits, thrift savings plan, etc. The HR office has a comprehensive package which contains related forms and detailed information to simplify your arrival process.

☐ ETHICS

POC – Bernie Knight, 622-1137

An incoming ethics briefing is suggested. The ethic attorney will brief you on financial disclosure paperwork (such as a final SF 278) and the Hatch Act.

☐ BADGE

POC – United States Secret Service, 622-1112

The USSS will contact you after your arrival to schedule a time for a badge photo. The process to obtain a badge usually takes a week.

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(b) (5)

Once again this is just a short list of examples. I'm sure others will be able to flesh this out.

Carl

-----Original Message-----

From: Alix, Cathy

Sent: Tuesday, February 05, 2008 9:08 AM

To: Cuffe, Elizabeth; Duffy, Michael; Foster, Wesley; Granat, Rochelle; Lingebach, James; Sharpe, Thomas Jr.; Thomas, James; Wolslayer, Kelly; Froehlich, Carl; Farrell, Stuart; Lewis, Mike; Nelson, Sheila; Alix, Cathy

Cc: McCarthy, Peter

Subject: Transition

Please read the attached document on transition planning prior to our Friday 11:00 a.m. staff meeting focusing on ASM Goal #1 – Work Place. Our discussion will touch briefly on transition preparation at the end of the meeting. Thank you.

<< File: Planing for Transition 2009.doc >>

Cath

Cathy D. Alix

Senior Advisor to the Assistant Secretary for

Management/Chief Financial Officer

Department of the Treasury

Main Treasury

Phone: 202.622.1030

AGENCY LISTING OF PRESIDENTIAL APPOINTEES

| Agency Name | Position Title | PD Rec'd | Name of Incumbent/Vacant | Date of Appt/ Vacancy | Appt Deadline | Position Type |
|----------------------------|---|----------|--------------------------|-----------------------|------------------------|---------------|
| Department of the Treasury | Secretary of the Treasury | | Henry M. Paulson, Jr. | 6/30/06 | NA | PAS |
| Department of the Treasury | Deputy Secretary of the Treasury | | Robert M. Kimmitt | 8/2/05 | NA | PAS |
| Department of the Treasury | Under Secretary of the Treasury for International Affairs | | David H. McCormick | 8/3/07 | NA | PAS |
| Department of the Treasury | Under Secretary of the Treasury for Domestic Finance | | Robert K. Steel | 10/4/06 | NA | PAS |
| Department of the Treasury | Under Secretary of the Treasury for Terrorism and Financial Intelligence | | Stuart A. Levey | 7/22/04 | NA | PAS |
| Department of the Treasury | Commissioner of Internal Revenue | | Douglas H. Shulman | 3/14/08 | 5 Year Term (11/12/12) | PAS |
| Department of the Treasury | Comptroller of the Currency | | John C. Dugan | 8/1/05 | 5 Year Term (7/31/10) | PAS |
| Department of the Treasury | Director, Office of Thrift Supervision | | John M. Reich | 8/1/05 | 5 Year Term (7/31/10) | PAS |
| Department of the Treasury | General Counsel | | Robert F. Hoyt | 12/12/06 | NA | PAS |
| Department of the Treasury | Inspector General | | Vacant | 4/28/07 | NA | PAS |
| Department of the Treasury | Inspector General for Tax Administration | | J. Russell George | 11/29/04 | NA | PAS |
| Department of the Treasury | Deputy Under Secretary of the Treasury/Designated Assistant Secretary for Legislative Affairs | | Kevin I. Fromer | 8/1/05 | NA | PAS |

| Agency Name | Position Title | PD Rec'd | Name of Incumbent/Vacant | Date of Appt/ Vacancy | Appt Deadline | Position Type |
|----------------------------|---|----------|--------------------------|-----------------------|---------------|---------------|
| Department of the Treasury | Deputy Under Secretary of the Treasury/Designated Assistant Secretary for International Economics | | Clay Lowery | 11/2/05 | NA | PAS |
| Department of the Treasury | Assistant Secretary of the Treasury for Financial Markets and Investment Policy | | Vacant | NA - New Position | NA | PAS |
| Department of the Treasury | Assistant Secretary of the Treasury for Tax Policy | | Eric Solomon | 12/11/06 | NA | PAS |
| Department of the Treasury | Assistant Secretary of the Treasury for Economic Policy | | Phillip L. Swagel | 12/11/06 | NA | PAS |
| Department of the Treasury | Assistant Secretary of the Treasury for Terrorist Financing | | Patrick M. O'Brien | 10/12/05 | NA | PAS |
| Department of the Treasury | Assistant Secretary of the Treasury for Intelligence and Analysis | | Janice B. Gardner | 8/1/05 | NA | PAS |
| Department of the Treasury | Assistant Secretary of the Treasury for Financial Institutions | | David G. Nason | 6/11/07 | NA | PAS |
| Department of the Treasury | Assistant Secretary of the Treasury for Public Affairs | | Michele A. Davis | 12/11/06 | NA | PAS |
| Department of the Treasury | Assistant Secretary of the Treasury for Financial Markets | | Anthony W. Ryan | 12/11/06 | NA | PAS |
| Department of the Treasury | Assistant Secretary of the Treasury for Management and Chief Financial Officer | | Peter B. McCarthy | 8/3/07 | NA | PAS |
| Department of the Treasury | Assistant General Counsel of the Treasury/Chief Counsel, IRS | | Donald L. Korb | 4/14/04 | NA | PAS |

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|----------------------------|--------------------------------|----------|--------------------------|-----------------------|-----------------------|---------------|
| Department of the Treasury | Treasurer of the United States | | Anna E. Cabral | 11/29/04 | NA | PAS |
| Department of the Treasury | Director of the U.S. Mint | | Edmund C. Moy | 8/28/06 | 5 Year Term (8/27/11) | PAS |
| Department of the Treasury | Member, IRS Oversight Board | | Deborah Wince-Smith | 12/13/06 | 5 Year Term (9/14/10) | PAS |
| Department of the Treasury | Member, IRS Oversight Board | | Vacant | 9/30/05 | 5 Year Term (9/14/10) | PAS |
| Department of the Treasury | Member, IRS Oversight Board | | Robert Tobias | 9/15/00 | 5 Year Term (9/14/10) | PAS |
| Department of the Treasury | Member, IRS Oversight Board | | Paul Cherecovich | 12/13/06 | 5 Year Term (9/14/09) | PAS |
| Department of the Treasury | Member, IRS Oversight Board | | Raymond T. Wagner | 4/9/03 | 5 Year Term (9/14/09) | PAS |
| Department of the Treasury | Member, IRS Oversight Board | | Paul Jones | 8/2/04 | 5 Year Term (9/14/08) | PAS |
| Department of the Treasury | Member, IRS Oversight Board | | Vacant | 9/30/03 | 5 Year Term (9/14/08) | PAS |

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|--|--------------------------------------|----------|--|--------------------------|-------------------|------------------|
| African Development Bank | U.S. Executive Director | | Vacant (Mimi Alemayehou nominated) vice Cynthia Perry | Vacant 12/3/07 | Term (5 years) | PAS |
| Asian Development Bank | U.S. Executive Director | | Curtis S. Chin | 3/30/07 | NA | PAS |
| European Reconstruction and Development Bank | U.S. Executive Director | | Vacant (Kenneth Peel nominated) vice Mark Sullivan | Vacant 4/25/08 | NA | PAS |
| Inter-American Development Bank | U.S. Executive Director | | Vacant (Miguel R. San Juan nominated) vice Hector Morales | Vacant 3/12/08 | Term (3 years) | PAS |
| Inter-American Development Bank | U.S. Alternate Executive Director | | Vacant (Vice Jan Boyer) | Vacant 6/6/08 | Term (3 years) | PAS |
| International Monetary Fund | U.S. Executive Director | | Margrethe Lundsager | 3/30/07 | Term (2 years) | PAS |
| International Monetary Fund | U.S. Alternate Executive Director | | Daniel Heath | 11/5/07 | Term (2 years) | PAS |
| International Bank for Reconstruction and Development, World Bank | U.S. Executive Director | | Eli Whitney Debevoise II | 3/30/07 | Term (2 years) | PAS |
| International Bank for Reconstruction and Development, World Bank | U.S. Alternate Executive Director | | Ana M. Guevara | 3/17/08 | Term (2 years) | PAS |

Transition Benefits – Quick Facts

Civil Service Retirement System (CSRS) & Federal Employees Retirement System (FERS)

| Age & Service Requirements | Age | Years of Service |
|--|---------|------------------|
| Immediate Retirement | 62 | 5 |
| CSRS Optional Retirement (Voluntary) | 60 | 20 |
| | 55 | 30 |
| | 62 | 5 |
| FERS Optional Retirement (Voluntary) | 60 | 20 |
| | MRA | 30 |
| | MRA | 10 |
| | 50 | 20 |
| | Any Age | 25 |
| CSRS and FERS Discontinued Service Retirement (Involuntary) | | |

FERS Minimum Retirement Age (MRA) is age 55 to age 57, depending upon your year of birth. The full MRA table is available at <http://www.opm.gov/retire/html/faqs/faq11.asp>.

CSRS "1 out of 2" Requirement – You must be covered by CSRS for at least 1 year within the 2-year period immediately before the separation on which your annuity is based. The 1 year of service does not have to be continuous.

Discontinued service retirement (DSR) is an early retirement option for employees who are involuntarily separated. You may qualify for DSR if you are involuntarily separated due to a change in agency leadership or as a result of the transition to a new Presidential administration. In some cases, a resignation will qualify as an involuntary separation for DSR eligibility; however, please check with Human Resources before submitting a resignation. (Please see note regarding resignations under the *unemployment compensation* section.)

Deferred Retirement -- If you have at least 5 years of civilian service under CSRS or FERS and do not take a refund of your retirement contributions, you may receive a deferred retirement benefit at age 62. Also under FERS, you may receive a deferred annuity when you reach your MRA if you have at least 10 years of creditable service or at age 60 if you have at least 20 years of creditable service.

Applying for a Refund of Your Retirement Contributions -- If you are not eligible for an immediate retirement benefit, you may apply for a refund of your retirement contributions. If you are under CSRS, the service covered by the refund may be creditable towards retirement benefits if you return to Government service. If you are under FERS, receipt of the refund permanently terminates the right to use the service covered by the refund for retirement benefits under any circumstances.

Federal Employees Health Benefits (FEHB)

If you retire on an immediate annuity, you can continue your FEHB coverage if you have been enrolled or covered as a family member for at least the last five years of service or since your first opportunity to enroll. After retirement, you pay the same share of FEHB premiums, but cannot pay premiums on a pre-tax basis.

If you do not meet the requirements for continuing coverage into retirement, your FEHB coverage will continue for 31-days, at no cost. After the 31-day extension of coverage, you can:

- continue FEHB coverage for up to 18 months by enrolling in **Temporary Continuation of Coverage (TCC)** and paying both the employee and the Government share of costs plus a 2% administration fee (rates available at: <http://www.opm.gov/insure/08/guides/70-05/>)
- convert to an individual (non-group) contract with your current FEHB carrier at the time of separation or after your TCC coverage ends.

Transition Benefits – Quick Facts

Federal Employees Group Life Insurance (FEGLI)

If you retire on an immediate annuity, you can continue your FEGLI coverage if you have been enrolled for at least the last five years of service or since your first opportunity to enroll.

If you do not meet the requirements for continuing coverage into retirement, your FEGLI coverage will stop at the end of the day on which you separate from service. You then have a 31-day free extension of coverage during which you may convert to an individual policy.

Federal Employees Dental and Vision Insurance (FEDVIP) -- If you are eligible to retire on an immediate annuity, your FEDVIP coverage will continue into retirement. If you are not eligible to retire, your FEDVIP coverage will terminate when you separate from Federal service. There is no 31-day extension of coverage, Temporary Continuation of Coverage (TCC), or opportunity to convert to a private plan when your FEDVIP coverage ends.

Federal Long Term Care Insurance Program (FLTCIP) -- Your FLTCIP insurance coverage will continue as long as you continue paying premiums to the Long Term Care Partners. You can pay premiums directly, by automatic debit from your bank account, or have premiums withheld from your retirement annuity.

Flexible Spending Account (FSAFEDS) Program -- If you separate or retire before the end of the 2008 Benefit Period (December 31, 2008), any eligible health care expenses incurred before your date of separation can be reimbursed from your Health Care Flexible Spending Account (HCFSA) or Limited Expense Health Care Flexible Spending Account (LEX HCFSA). Expenses incurred after the separation date are not reimbursable. If you have used your entire elected amount before FSAFEDS has deducted it from your pay, you will not be responsible for the remaining allotments. You can continue to use the remaining balance in your Dependent Care Flexible Spending Account (DCFSA) to pay for eligible dependent care expenses until the end of the Benefit Period (December 31, 2008) or until your account balance is used up, whichever comes first.

Thrift Savings Plan (TSP) Account

You are *always* vested in your own TSP contributions, in the matching contributions the agency makes for FERS employees, and in the earnings on the employee and matching contributions. However, FERS employees must complete 2 or 3 years of civilian service to be vested in the Agency Automatic (1%) contributions.

When you leave Federal service, you may leave your money in the TSP, make a partial withdrawal, or make a full withdrawal. You can have the TSP transfer all or part of any single payment or, in some cases, a series of monthly payments, to a traditional IRA or eligible employer plan. You may also be eligible to transfer to a Roth IRA; however, rules and restrictions apply. Before you request any withdrawal, read the booklet *Withdrawing Your TSP Account After Leaving Federal Service* and the tax notice *Important Tax Information About Payments From Your TSP Account*, available on the TSP website, <http://www.tsp.gov/>.

Unused Annual Leave and Sick Leave

When you leave Federal service, you will receive a lump sum payment for unused annual leave. Generally, the payment will equal the pay you would have received if you remained employed until expiration of the period covered by the annual leave. If you are reemployed in the Federal service, you may be required to repay the annual leave lump sum payment. Unused sick leave may be used to increase retirement benefits under CSRS. Generally, FERS employees do not receive retirement credit for unused sick leave, but your sick leave may be recredited to your account if you return to Federal service.

Unemployment Compensation for Federal Employees (UCFE)

Unemployment compensation is provided through the State in which your last official duty station is located. Benefit levels and eligibility requirements vary from State to State. *Note: Resigning before receiving a request to resign is generally considered an unprompted resignation and is not usually viewed as sufficient for unemployment compensation purposes.*

Alix, Cathy

From: McCarthy, Peter
Sent: Friday, June 20, 2008 9:28 AM
To: Alix, Cathy
Subject: FW: GSA Plan for Presidential Transition
Attachments: GSA Planning for PresidentialTransition.pdf

For your info

From: Wolslayer, Kelly
Sent: Friday, June 20, 2008 9:20 AM
To: McCarthy, Peter
Subject: FW: GSA Plan for Presidential Transition

Pete, I know Jacqui talked about this while I was gone, but I thought it might be handy to have when you eventually talk to Jim about Transition (the GSA brief is attached at the bottom)

Kelly Wolslayer

Director, Treasury Emergency Programs
Phone: 202-622-2195
Cell: 202-435-8180
Pager: 1-800-759-8888 pin# 1018492

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Wolslayerk@treasury.ic.gov

Please consider the environment before printing this e-mail and/or attachments.

From: Phillips, Jacquelyn
Sent: Friday, May 30, 2008 10:46 AM
To: Cuffe, Elizabeth; Duffy, Michael; Foster, Wesley; Granat, Rochelle; Runnels, Al; Sharpe, Thomas Jr.; Wolslayer, Kelly; Farrell, Stuart; Lewis, Mike; Nelson, Sheila; Kim, Cheh; Gilligan, Eileen; Thomas, James; Perry, Rosa
Cc: Brauer, John; Hepler, Brian; Jiggetts, Steven; Lewis, Jo Ann (Contractor); Sass, Paige
Subject: GSA Plan for Presidential Transition

All,
As I mentioned yesterday, here are the GSA slides from the Domestic Readiness Group (DRG) PCC that I attended on Kelly's behalf this week. I hope they are helpful!

v/r,
Jacqui

Recap of the notes from DRG PCC 28 May 08:

Alix, Cathy

From: Froehlich, Carl
Sent: Tuesday, February 05, 2008 10:14 AM
To: Alix, Cathy
Cc: McCarthy, Peter
Subject: RE: Transition

Cathy,

Some thoughts:

(b) (5)



(b) (5)



(b) (5)



Once again this is just a short list of examples. I'm sure others will be able to flesh this out.

Carl

-----Original Message-----

From: Alix, Cathy

Sent: Tuesday, February 05, 2008 9:08 AM

To: Cuffe, Elizabeth; Duffy, Michael; Foster, Wesley; Granat, Rochelle; Lingebach, James; Sharpe, Thomas Jr.; Thomas, James; Wolslayer, Kelly; Froehlich, Carl; Farrell, Stuart; Lewis, Mike; Nelson, Sheila; Alix, Cathy

Cc: McCarthy, Peter

Subject: Transition

Please read the attached document on transition planning prior to our Friday 11:00 a.m. staff meeting focusing on ASM Goal #1 – Work Place. Our discussion will touch briefly on transition preparation at the end of the meeting. Thank you.

<< File: Planing for Transition 2009.doc >>

Cath

Cathy D. Alix
*Senior Advisor to the Assistant Secretary for
Management/Chief Financial Officer
Department of the Treasury
Main Treasury
Phone: 202.622.1030*



Removal of Records by Departing Officials

Types of documents that can be removed without approval:

- Personal papers - documents not owned by the Federal Government
- Personal diaries, journals or other personal notes that were not prepared or used for or communicated in the course of transacting government business (includes planners used solely for personal memory jogging purposes)
- Personal contacts from Outlook
- A copy of documents, which are not classified or confidential in nature and are available to the public via the Treasury websites
- Library and museum materials used solely for reference or exhibit purpose (articles, journals, posters, etc.)
- A copy of public publications or documents (e.g. the Treasury Strategic Plan)

Types of federal records that require approval for removal (includes electronic records):

Requests shall be only for records that are reasonably related to the requester's official responsibilities while an employee at Treasury

- Papers (letters, memos, completed forms, reports, maps, etc.)
- Electronic (databases, e-mail, spreadsheets, geographic information systems, etc.)
- Audio recordings
- Photographic prints and negatives
- Video recordings & motion picture films
- Documents posted to certain internal websites
- Copies of calendars
- Copies or originals of briefing books for senior officials
- Working papers developed during tenure with the Department
- Copies of e-mails that pertain to the business of the Department

Types of federal records that can never be removed (includes electronic records):

- Classified material
- Any federal record
- Information subject to Privacy Act (5 U.S.C. 552a) – this includes any record about an individual not in the public domain
- Any part of a record included in a file that will diminish the integrity of the record
- Information that would not normally be disclosed to the public
- Copies of the Department of Treasury Weekly Reports

How do I request records for removal?

- Complete TD F 80.05-6, Request for Access to or Removal of Documentary Materials or submit the request in writing to the Deputy Assistant Secretary
- Assemble requested records (if electronic), records must be printed to paper for review

Contact: Veronica Marco, Office of Treasury Records (202) 622-2477