

any supporting documentation. Requests to amend a record must meet the requirements of the regulations at 34 CFR 5b.7.

**RECORD SOURCE CATEGORIES:**

Department employees involved in the management of grants and contracts, and other organizations or persons that may have relevant information regarding participants and their principals.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

None.

**18-03-02**

**SYSTEM NAME:**

Education's Central Automated Processing System (EDCAPS).

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION(S):**

Recipient System (RS), Payment Management Service & Reporting Unit, Financial Payments & Cash Management Operations, Office of the Chief Financial Officer, U.S. Department of Education, 400 Maryland Avenue, SW., Room 4W202, Washington, DC 20202.

Financial Management Software System (FMSS), General Ledger Systems Group, Financial Reporting and Systems Operations, Office of the Chief Financial Officer, U.S. Department of Education, 400 Maryland Avenue, SW., Room 4W202, Washington, DC 20202.

Contracts and Purchasing Support System, Support Services Group, Contracts and Purchasing Operations, Office of the Chief Financial Officer, U.S. Department of Education, Seventh & D Streets, SW., Room 3616, ROB-3, Washington, DC 20202-4651. Contracts and Purchasing Support System (CPSS) National Finance Center, Department of Agriculture, New Orleans, Louisiana.

Grants Administration and Payments System (GAPS) Grants and Contract Management System (GCMS) and the Payment Management System (PMS). The grant application portion of GAPS will be managed by the Grants Policy & Oversight Staff, Office of the Chief Financial Officer, GSA Regional Office Building 3, Seventh & D Streets, SW, Room 3652, Washington, DC 20202-4651. The GAPS payment process will be managed by Payment Management Service & Reporting Unit, Financial Payments & Cash Management Operations, Office of the Chief Financial Officer, Washington, DC 20202.

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

Categories of individuals include employees of the Department, consultants, contractors, grantees, advisory committee members, and other individuals receiving funds from the department for performing services for the Department. Although EDCAPS contains information about institutions associated with individuals, the purpose for which the Department collects and maintains information under this system of records, and its usage of this information, pertains only to individuals protected under the Privacy Act of 1974 (5 U.S.C. 552a).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records in this system contain the individual's name, address, Social Security number, eligibility codes, detailed and summary obligation data, reports of expenditures, and grant management data, including application and close out information.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

44 U.S.C. 301.

**PURPOSE(S):**

The purpose of EDCAPS is to maintain financial and management records associated with the normal operations of the Department. Records are used for managing grant and contract awards, making payments, accounting for goods and services provided and received, enforcing eligibility requirements, conditions in awards and U.S. law relating to transactions covered by the system, and defending the Department in actions relating to those transactions. EDCAPS consists of four subsystems, as follows:

*RS (Recipient System)*

RS serves as the recipient database for EDCAPS and the central repository of recipients having a relationship with the Department (e.g., receiving grantees.) It maintains core information about a recipient and tracks reference data to support information on recipients (e.g., countries, states, and congressional districts).

*FMSS (Financial Management Software System)*

The purpose of FMSS is to serve as the official general ledger for the Department. It also performs all funds control checks for all EDCAPS obligations, either by the GAPS or by a contractor of the Department. FMSS maintains detailed information about obligations paid to the contractor and maintains general ledger level balance information for obligations paid directly by the Department through GAPS.

*GAPS (Grants Administration and Payment System)*

The purpose of GAPS is to administer the grants award processing from planning through closeout including disbursing funds to grants recipients for certain Department programs. Summary payment data are returned to FMSS for processing. GAPS maintains a record of grant awards by the Department, including management information collected during the award process. Payment information is retrievable in GAPS by Taxpayer Identification Number (TIN). The TIN for an individual is the social security number. The name, mailing address and other characteristic data related to federal grants or institutional loans are also maintained.

*CPSS (Contract and Purchasing Support System)*

The purpose of CPSS is to administer the contracts award process from planning to closeout. CPSS shares information with FMSS. CPSS maintains a record of contact awards by the Department, including management information collected during the award process.

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

The Department of Education (Department) may disclose information contained in a record in this system of records under the routine uses listed in this system of records without the consent of the individual if the disclosure is compatible with the purposes for which the record was collected. These disclosures may be made on a case-by-case basis or, if the Department has complied with the computer matching agreement.

(a) *Litigation disclosure.*

(1) *Disclosure to the Department of Justice.* If the Department determines that disclosure of certain records to the Department of Justice is relevant and necessary to litigation and is compatible with the purpose for which the records were collected, the Department may disclose those records as a routine use to the Department of Justice. Such a disclosure may be made in the event that one of the parties listed below is involved in the litigation, or has an interest in such litigation:

(i) The Department or any component of the Department; or

(ii) Any employee of the Department in his or her official capacity; or

(iii) Any employee of the Department in his or her individual capacity where the Department of Justice has agreed to represent the employee; or

(iv) Any employee of the Department in his or her individual capacity where the agency has agreed to represent the employer; or

(v) The United States where the Department determines that the litigation is likely to affect the Department or any of its components.

(2) *Other litigation disclosures.* If the Department determine that disclosure of certain records to a court, adjudicative body before which the Department is authorized to appear, individual or entity designated by the Department or otherwise empowered to resolve disputes, counsel or other representative, or potential witness is relevant and necessary to litigation and is compatible with the purpose for which the records were collected, the Department may disclose those records as a routine use to the court, adjudicative body individual or entity, counsel or other representative, or witness. Such a disclosure may be made in the event that one of the parties listed below is involved in the litigation, or has an interest in the litigation;

(i) The Department or any component of the Department; or

(ii) Any employee of the Department in his or her official capacity; or

(iii) Any employee of the Department in his or her individual capacity where the Department has agreed to represent the employee; or

(iv) The United States where the Department determines that litigation is likely to affect the Department or any of its components.

(b) *FOIA advice of disclosure.* In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act or other authority permitting disclosure of records, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(c) *Contract disclosure.* The Department may disclose information from this system of records as a routine use to the private firm or contractor with which the Department contemplates it will contract or with which it has contracted for the purpose of performing any functions or analyses that facilitate or are relevant to an investigation, audit, inspection, or other inquiry. Such contract or private firm shall be required to maintain Privacy Act safeguards with respect to such information.

(d) *Enforcement disclosure.* In the event that information in this system of records indicates, either on its face or in connection with other information, a violation or potential violation or any

applicable statute, regulation, or order of a competent authority, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether foreign, Federal, State, Tribal, or local, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or executive order or rule, regulation, or order issued pursuant thereto.

(e) *Congressional member disclosure.* The Department may disclose records to a member of Congress from the record of an individual in response to an inquiry from the member made at the written request of that individual. The member's right to the information is no greater than the right of the individual who requested it.

#### DISCLOSURE TO A CONSUMER REPORTING AGENCY:

*Disclosures pursuant to 5 U.S.C. 552(a)(b)(12):* The Department may disclose to a consumer reporting agency information regarding a claim by the Department which is determined to be valid and overdue as follows: (1) The name, address, taxpayer identification number and other information necessary to establish the identity of the individual responsible for the claim; (2) the amount, status, and history of the claim and (3) the program under which the claim arose. The Department may disclose the information specified in this paragraph under 5 U.S.C. 552a(e)(4) and the procedures contained in subsection 31 U.S.C. 3711(f). A consumer reporting agency to which these disclosures may be made is defined at 31 U.S.C. 3701(a)(3).

#### POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEMS:

##### STORAGE:

Records are maintained on microfilm, microfiche, disk packs and magnetic tapes and stored in a retrievable file system.

##### RETRIEVABILITY:

Records are indexed by name, or other individual identifier, and TIN. The records are retrieved by a manual or computer search by indices.

##### SAFEGUARDS:

Direct access is restricted to authorized Department staff performing official duties. Authorized staff are assigned passwords which must be used for access to computerized data. Also, an additional password is necessary to gain access to the system. The system-access password is changed frequently.

The data is maintained in a secured-access area.

#### RETENTION AND DISPOSAL:

Files are regularly updated. Records are maintained for ten years. Inactive records are purged from the automated file every five years.

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

The Registry System is managed by the Payment Management Service & Reporting Unit, Financial Payments & Cash Management Operations, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 20202.

The Financial Management Software System is managed by the General Ledger Systems Group, Financial Reporting and Systems Operations, Office of the Chief Financial Officer, U.S. Department of Education, 400 Maryland Avenue, SW., Washington, DC 20202.

The Contracts and Purchasing Support System is managed by the Support Services Group, Contracts and Purchasing Operations, Office of the Chief Financial Officer, U.S. Department of Education, 400 Maryland Avenue, SW., Room 3616, ROB-3, Washington, DC 20202-4651.

The grant application portion of the Grants Administration and Payments System will be managed by the Grants Policy & Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Room 3652, ROB-3, Washington, DC 20202-4651. The GAPS payment process will be managed by Payment Management Service & Reporting Unit, Financial Payments & Cash Management Operations, Office of the Chief Financial Officer, U.S. Department of Education, 400 Maryland Avenue, SW., Room 3332, Washington, DC 20202.

#### NOTIFICATION PROCEDURE:

If an individual wishes to determine whether a record pertaining to him or herself is the system of records, the individual should provide his or her name and Social Security number to the appropriate system manager. Such request must meet the requirements in the regulations at 34 CFR 5b.5.

#### RECORD ACCESS PROCEDURES:

If an individual wishes to gain access to a record in this system, he or she should contact the appropriate system manager and provide information as described in the notification procedure. Requests by an individual for access to a record must meet the requirements in the regulations at 34 CFR 5b.5.

**CONTESTING RECORD PROCEDURES:**

If an individual wishes to change the content of a record pertaining to himself or herself that is contained in the system or records, he or she should contact the appropriate system manager with the information described in the notification procedure, identify the specific items requested to be changed, and provide a justification for such change. A request to amend a record must meet the requirements in the regulations at 34 CFR 5b.7.

**RECORD SOURCE CATEGORIES:**

Information in this system will be obtained from applicants applying for a Department contract, grant, or loan at the time of application. Information will also be obtained from Department program offices, employees, consultants, and others performing personnel services for the Department.

**SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

None.

**18-03-03****SYSTEM NAME:**

Receivables Management System.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATIONS:**

Office of the Chief Financial Officer, Financial Improvement and Receivables Group, U.S. Department of Education, 400 Maryland Avenue, SW., Washington, DC 20202-4330.

Office of the Chief Information Officer, U.S. Department of Education, Seventh and D Streets, SW., Washington, DC 20202.

Nationwide Credit, Inc., Credit Claims and Collection, 2253 Northwest Parkway, Marietta, GA 30067.

Payco American Corporation, 180 N. Executive Drive, Brookfield, WI 53005-6011.

CSC Credit Services, Inc., 7909 Parkwood Circle, Suite 200, Houston, TX 77036-6565.

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

Individuals covered by the system include: Persons billed by the Department of Education (Department) for materials and services such as Freedom of Information Act requests and computer tapes of statistical data, persons ordered by a court of law to pay restitutions to the Department, individuals who received grants under the Bilingual Education Fellowship Program and who have not provided evidence to the Department of fulfilling

their work requirements as described in the Bilingual Education Fellowship Program Contract, individuals who have received funds through the Rehabilitation Services Administration (RSA) Scholarship program and who have not provided evidence of fulfilling their obligations under that program, current and former Department employees who received overpayments on travel allowances or who received salary overpayments and the overpayments have not been waived by the Department, individuals who were overpaid or inappropriately paid under grant programs administered by the Department other than Title IV of the Higher Education Act of 1965, as amended (HEA) and claims against individuals, including orders by a court or other authority to make restitution for the misuse of Federal funds in connection with any program administered by the Department.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Documents maintained in the system include: activity logs, copies of checks, contracts, court orders, letters of notice, promissory notes, telephone logs, and related correspondence.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Federal Claims Collection Act of 1966; Debt Collection Act of 1982; and the Debt Collection Improvement Act of 1996.

**PURPOSE(S):**

The Receivables Management System is a database system that is kept for servicing general consumer debts owed to the Department and issuing reports of operations and the status of accounts to the U.S. Department of Treasury (Treasury) and the Office of Management and Budget. The receivables are generated from bills to individuals for materials and services from the Department, claims arising from court-ordered restitutions for any program administered by the Department, loans and overpayments to individuals under programs other than the student financial assistance programs authorized under Title IV of the Higher Education Act of 1965, as amended.

Records will be used by debt servicing staff to bill debtors to the Department and collect the debts.

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

The Department of Education (Department) may disclose information contained in a record in this system of records under the routine uses listed in this system of records without the

consent of the individual if the disclosure is compatible with the purposes for which the record was collected. Disclosures under the following routine uses may be made on a case-by-case basis or, in appropriate circumstances under computer matching agreements authorized under the Privacy Act of 1974 (5 U.S.C. 552a). Records may be disclosed for the following debt servicing program purposes:

(a) *Program purposes:* (1) To verify the identity and location of the debtor, disclosures may be made to credit agencies and Federal agencies. (2) To enforce the terms of a loan or where disclosure is required by Federal law, disclosure may be made to credit agencies, educational and financial institutions, and Federal, State, or local agencies.

(b) *Debt servicing.* Records under routine use may be disclosed to the United States Department of the Treasury and privately contracted collection companies for debt servicing.

(c) *Litigation disclosure.* (1) In the event that one of the parties listed below is involved in litigation, or has an interest in litigation, the Department may disclose certain records to the parties described in paragraphs (2), (3) and (4) of this routine use under the conditions specified in those paragraphs:

(i) The Department, or any component of the Department;

(ii) Any Department employee in his or her official capacity;

(iii) Any employee of the Department in his or her individual capacity where the Department of Justice (DOJ) has agreed to provide or arrange for representation for the employee;

(iv) Any employee of the Department in his or her individual capacity where the agency has agreed to represent the employee; or

(v) The United States where the Department determines that the litigation is likely to affect the Department or any of its components.

(2) *Disclosure to the DOJ.* If the Department determines that disclosure of certain records to the DOJ is relevant and necessary to litigation and is compatible with the purpose for which the records were collected, the Department may disclose those records as a routine use to the DOJ.

(3) *Administrative Disclosures.* If the Department determines that disclosure of certain records to an adjudicative body before which the Department is authorized to appear, an individual or entity designated by the Department or otherwise empowered to resolve disputes is relevant and necessary to the