

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO.

NI-87-89-2

DATE RECEIVED

8/4/89

TO: **GENERAL SERVICES ADMINISTRATION**
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

NOTIFICATION TO AGENCY

1. FROM (Agency or establishment)

Department of the Treasury

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

2. MAJOR SUBDIVISION

United States Secret Service

3. MINOR SUBDIVISION

Management & Organization Division

4. NAME OF PERSON WITH WHOM TO CONFER

Ann Parker
Management Analyst

5. TELEPHONE EXT.

566-4771

DATE

6/18/92

ARCHIVIST OF THE UNITED STATES

[Signature]

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 8 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary.

B. DATE	C. SIGNATURE OF AGENCY REPRESENTATIVE	D. TITLE
5/1/92	<i>[Signature]</i>	Chief, Management & Organization

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	<p>U.S. Secret Service Field Office Investigative Records Disposition Schedule</p> <p>This schedule covers investigative records found in field offices relating to counterfeiting, forgery, fraud, and non-criminal investigations.</p> <p>Field Office personnel should bring to the attention of their SAIC any unique or highly significant records having potential archival or historical value. Upon review by the SAIC, the record should be earmarked for permanent preservation and as per the disposition schedule. At the end of this retention period, the record should be sent to the U.S. Secret Service's Record Officer, Management and Organization Division. Following are some examples of general criteria that may be used in selecting and earmarking such files:</p> <p>The case established a precedent for significantly changing Secret Service policy or procedure.</p> <p>The case was the subject of extensive litigation.</p> <p>All changes to this proposed schedule have been approved by:</p> <p><i>[Signature]</i> 5/1/92 NARA appraiser date</p> <p><i>[Signature]</i> Agency representative</p> <p>5/1/92 date</p>	NN170/116	

Selection Criteria for Closed Investigation Case Files

1. The case was significant in terms of public interest as expressed by:
 - a. the amount of interest it received from local, state, or national media;
 - b. the involvement in the case of infamous criminals, prominent individuals, public officials, government employees, organizations, or groups at the local, state, regional, or national levels regardless of the media attention to the case;
 - c. the relationship of the case to an unusual or sensitive area of law enforcement, or to a legally, politically, or socially controversial aspect of law enforcement, regardless of the media attention to the case.
2. The case established a precedent for significantly changing Secret Service law enforcement policies and practices.
3. The case was described or listed in a publication of the Secret Service, or the case was used as a model or for training purposes by the Secret Service, or other local, state, or federal law enforcement agencies.

1. Closed Investigative Case Files

These records are maintained at the field offices as a result of investigations of the manufacture, distribution, sale, possession, or passing of counterfeit, altered or mutilated currency, coins, securities, and other negotiable items such as Treasury bonds, notes, savings bonds, checks, food coupons, etc.; the fraudulent production, transfer, or possession of false identification or identification-making equipment; the fraudulent production, use, or trafficking in counterfeit access devices or device-making equipment; the fraudulent use, possession, or trafficking in unauthorized access devices; the fraudulent access or access exceeding authorization to a government or Federal-interest computer, or the use, possession of, or trafficking in computer passwords; the forgery, fraud, alteration, mutilation, false claim, embezzlement, misrepresentation, larceny, or recovery of Treasury checks, bonds and other negotiable instruments such as food coupons; non-check forgery investigations such as electronic funds transfer and direct deposit frauds; investigations of other criminal activities such as impersonations for fraudulent purposes, Federal Deposit Insurance Corporation; Farm Credit Administration; Government Losses in Shipment; theft and embezzlement of U.S. Government property; investigation of non-criminal

activities such as seized conveyances, automobile accidents, lost claims; and other non-criminal investigations not specified elsewhere.

Case files contain reports, correspondence with other law enforcement agencies, statements by suspects, personal history summaries on suspects, inventories of seized or recovered negotiable instruments, teletypes, court documents, laboratory reports, photographs, newspaper clippings, and other records.

NOTE: Lost or stolen weapons case files will remain open until weapons are recovered.

Any evidence and other materials retained at the close of a case will be considered a part of the case file. All selection and retention provisions in the schedule apply to both the case file and any retained evidence or other related case materials.

It is the responsibility of agency personnel to dispose of duplicate records and other nonrecord materials that do not have lasting administrative or legal value to the agency prior to retiring closed cases to the Federal Records Center, or transferring them to the National Archives.

- a. Selected Closed Case Files.** All cases selected in USSS District Offices according to the selection criteria outlined in the introduction of this schedule. Case selection should be made at the close of the case, and selected cases should be labelled and maintained separately from non-selected cases.

Permanent. Transfer case file and all evidence or related materials to the FRC. Transfer to the National Archives 30 years after the case is closed.

NOTE: Any case materials and evidence determined by the National Archives to be duplicative, fragmentary, unidentified, or nonarchival, as well as any materials already appraised as temporary under approved Agency or General Records Schedules may be disposed of by the National Archives during archival processing without further agency notification.

b. All Other Closed Case Files:

- 1). Criminal Judicial Case Files

Transfer to FRC and destroy ³⁰~~20~~ years after close of case.

- 2). Criminal Non-Judicial Case (except forgery)

Transfer to FRC and destroy 10 years after close of case.

3). Criminal Non-Judicial Case (Forgery)

Transfer to FRC and destroy 5 years after close of case.

4). Non-Criminal Case

Transfer to FRC and destroy 5 years after close of case.

5). Investigations Other District Case (IOD)

Destroy 2 years after close of case.

2. Case Files Containing Special Information

a. Case Files Containing Title 1 Intercept Material

Any case file involving Title 1 (Non-Consensual) intercept material has a minimum 10 year retention. After the 10 years have elapsed, apply the appropriate disposition authorization in Item 1 above.

b. Case Files Containing Protected Internal Revenue Service Information

Any case file involving IRS information has a minimum 8 year retention period. After the 8 years have elapsed, apply the appropriate disposition authorization in Item 1 above.

c. Case Files Containing Mail Cover Information

Any case file containing mail cover information has a minimum 8 year retention period. After the 8 years have elapsed, apply the appropriate disposition authorization in Item 1 above.

3. Master Index

A District office card or electronic index, or printout of electronic index reflecting names of persons involved in investigations and other matters as extracted from reports and correspondence.

a. Index Cards or printouts of electronic indexes for cases selected for permanent retention

Permanent. Transfer to the FRC with selected case file. Transfer to the National Archives with selected case file as specified in Item 1 above.

- b. Index cards, electronic index files, or printouts of indexes for nonselected cases.

Destroy or delete when case file or administrative file is destroyed, or when no longer needed.

~~The case received widespread attention from the news media.~~

~~The case was reviewed at length in a publication of the agency, such as the Annual Report to Congress of the Secretary of the Treasury.~~

1. Closed Investigative Case Files

These records are maintained at field offices as a result of investigations of the manufacture, distribution, sale, possession, or passing of counterfeit, altered or mutilated currency, coins, securities, and other negotiable items such as Treasury bonds, notes, savings bonds, checks, food coupons, etc; the fraudulent production, transfer, or possession of false identification or identification-making equipment; the fraudulent production, use, or trafficking in counterfeit access devices or device-making equipment; the fraudulent use, possession, or trafficking in unauthorized access devices; the fraudulent access or access exceeding authorization to a government or Federal-interest computer or the use, possession of, or trafficking in computer passwords; the forgery, fraud, alteration, mutilation, false claim, embezzlement, misrepresentation, larceny or recovery of Treasury checks, bonds and other negotiable instruments such as food coupons and other non-check forgery investigations such as electronic funds transfer and direct deposit frauds; investigations of other criminal activities such as impersonations for fraudulent purposes, Federal Deposit Insurance Corporation; Farm Credit Administration; Government Losses in Shipment; theft and embezzlement of Government property and funds; lost, stolen or damaged U.S. Government property; investigations of non-criminal activities such as seized conveyances, automobile accidents, lost claims; and other non-criminal investigations not specified elsewhere.

Case files contain reports, correspondence with other law enforcement agencies, statements by suspects, personal history summaries on suspects, inventories of seized or recovered negotiable instruments, teletypes, court documents, laboratory reports, photographs, newspaper clippings; and other records. (Note: Lost or stolen weapons case files will remain open until weapons are recovered).

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|--|---------------------------------------|
| a. Criminal Judicial Case | Destroy 20 years after close of case. |
| b. Criminal Non-Judicial Case (except forgery) | Destroy 10 years after close of case. |
| c. Criminal Non-Judicial Case (Forgery) | Destroy 5 years after close of case. |
| d. Non-Criminal Case | Destroy 5 years after close of case. |
| e. Investigations Other District Case (IOD) | Destroy 2 years after close of case. |

2. Case Files Containing Social Information

- a. Case Files Containing Title 1 Intercept Material Any case file involving Title 1 (Non-Consensual) intercept material has a minimum 10 year retention period. Destroy with case file having a retention of 10 years or longer; otherwise, hold case file for 10 years, then destroy.
- b. Case Files Containing Protected Internal Revenue Service Information Any case file containing IRS information has a minimum 8 year retention period. Destroy with case file having a retention of 10 years or longer; otherwise, hold case file for 8 years.
- c. Case File Containing Mail Cover Information Any case file containing mail cover information has a minimum 8 year retention period. Destroy with case file having a retention of 10 years or longer; otherwise, hold case file for 8 years.

Other Field Office Investigative Program Records

3. Master Index

A card index, reflecting names involved in investigations and other matters as extracted from reports and correspondence.

~~Destroy when case file or administrative file is destroyed.~~

4. Investigative Files of an Administrative Nature

- a. Correspondence, memos, TWX, reports and inquiries of an administrative nature and generated internally, by other agencies or organizations, or by private individuals regarding any type of counterfeiting, fraud, (except item b. below) forgery, criminal investigations, and non-criminal investigation (i.e., Information Only Copies, Statistical Reports, etc.) Cut off at end of calendar year and destroy after 2 years.

- b. Correspondence and memos of an administrative nature pertaining to mishandling of funds, false claims, statements, and referrals of alleged criminal activity received from other government agencies, private industry; or individuals. Fraud against Federal Deposit Insurance Corporation, or other federally insured banking institutions. Cut off at end of the calendar year. Destroy when 5 years old.
- c. Chron Reading Files Close at end of calendar year and hold 1 additional year.
5. Interception Equipment Log Close after last entry and destroy after the next office inspection.
6. Semiannual Review Certification of Interception and Reporting of Wire and Oral Communication Roster Close after last entry and destroy after the next office inspection.
7. Right to Financial Privacy Act Record Log SSF-3023 Close after last entry and destroy after the next office inspection.
8. IRS Disclosure Log Cut off when log is completed and destroy 8 years after receipt of last document.
9. Ex-Major Offender Check-Up SSF-1644 Annotate biannually and retire to case file when discontinued. Destroy with case file.
10. Counterfeiting, Passing, Possession, and Manufacturing of Counterfeiting U.S. Currency, Coins, Securities, Slugs, Tokens and Trade Coins
- a. TWX from other field offices regarding the appearance of new counterfeit notes in the area and related information.
- If it is a notification of new counterfeit, record information on an SSF-3210. Destroy at discretion of the SAIC.
- If TWX carries an investigative case number, place it in that case file. Destroy with case file.
- If TWX carries only an administrative number, retain it in that file. Destroy with administrative file.

- b. SSF-1604 (part 1) with or without history is filed in administrative file 710.070. Cut off at end of calendar year and destroy after 2 years.
- c. SSF-1604 (part 2) without history is filed in circular information folder. Destroy when 10 years old as part of the circular information folder.
- d. SSF-1604 (part 2) Counterfeit Note Reports with history. Place in investigative case file. Destroy with case files.
- e. Receipts for shipments from Federal Reserve Banks. Cut off at end of the calendar year and destroy when 2 years old.
- f. Volume 1 and 2 of the Counterfeit Note Index. Update on bi-weekly basis. (To be reviewed again after CIS is implemented).
- g. Circular Files. Files maintained for each circular-numbered counterfeit obligation, which provide a logical and concise record of the investigative history of a counterfeit obligation. Made from Digest of Counterfeiting Information. Circular files, for offices that maintain them (see CFT-10), will be retained until Headquarters authorizes their destruction. Periodically the offices will be advised that circular files prior to a particular number may be destroyed.
- h. Circular Information Folders. Folders containing miscellaneous information concerning the passing activity of a circular within a particular office. Destroy when 10 years old.
- i. New Counterfeit file folders with numbers that have been circularized. If no further investigation required, keep for 2 years and destroy.
- j. Case Number Logs. Logs that control the assignment of sequential field office case numbers and control the assignment of suffix numbers to individual investigations. Destroy 5 years after the last entry.

- k. Contraband Log
Log that reflects each day's receipt of counterfeit items.
- Destroy 5 years after the last entry. (To be reviewed again after office computerization.)
- l. Run-Out Log.
Log that establishes control over items assigned to agents for investigations.
- Destroy 5 years after the last entry. (To be reviewed again after office computerization.)
11. Contraband Property
Records relating to the custody, transmittal, receipt of contraband property that has been seized or released to Secret Service Agents.
- a. Monthly Reports of all contraband received (SSF-1589).
- Cut off at the end of each calendar year. Destroy when 2 years old.
- b. Certified Inventory of Property Held in Evidence (SSF-1544).
- Destroy with case file to which it relates.
12. Informant Cards (SSF-3000)
A card index documenting names of persons who furnish information on a confidential basis that has value for law enforcement or general intelligence purposes.
- Do not destroy except on instructions from Headquarters.
13. Forgery of Checks, Bonds, and Other U.S. Government Obligations and Securities; Fraud, Larceny, or Direct Deposit Electronic Funds Transfer (EFT)
- Incident-type reports and information pertaining to the above when there is insufficient information to develop a case file.
- Cut off at the end of the calendar year. Destroy when 2 years old.
14. Specimen Files
- a. Check and bond photostat file.
- Review file annually. Destroy when 2 years old at SAIC discretion.
- b. Original handwriting specimens related to Judicial cases.
- Destroy with case file.

- c. Original handwriting specimens related to Non-Judicial cases and all photocopies of handwriting specimens. Review handwriting file annually. Destroy when 2 years old. (Individual specimens may be retained beyond period at the discretion of the SAIC).
15. Supplemental NCIC Wanted Person Entry (SSF-1640 and SSF-1640A) Destroy upon arrest of suspect.
16. Information Only Copies of Reports Destroy when no longer needed.
17. Genuine U.S. Foreign and Specimen Obligations
Request submitted to field offices by other agencies, organizations, or private individuals for determination of questioned currency as genuine, response to the requests and receipts for genuine currency. Destroy when matters are settled, terminated, or closed.
18. Reproduction of U.S. Obligations, Securities, Currency, Coin, Emblems, and Official Seal
- a. Requests and authorization to reproduce currency and other obligations and securities of the United States for law enforcement and banking purposes (e.g., recording bait and ransom monies). Cut off at the end of the calendar year. Destroy when 5 years old.

b. Inquires, requests, authorizations, and opinions transmitted to and from SI&SD and Legal Counsel concerning the legality of reproducing coins, paper, tokens, discs, etc. made in the likeness or similitude of genuine currency for advertising and novelty purposes. May contain original and copies of specimen.

Cut off at the end of the calendar year. Destroy when 5 years old.

19. Organized Crime 705 Subject Files

~~WITHDRAWN~~

~~Periodic narrative and activity reports on cases of special interest; information on Racketeering Data Bank; National OC Planning Council; infiltration of legitimate business by organized crime; general OC information; Strike Force information; and name check queries, requests, and authorizations.~~

~~Destroy 5 years after matters are settled, terminated, or closed.~~

~~WITHDRAWN~~

20. Security Surveys (Facilities)

(Government Facilities)

a. File copies of security surveys performed for the purpose of recommending methods of protecting property and valuables under their control.

Destroy when 3 years old, or upon discontinuance of facility, whichever is sooner.

(Non-Government Facilities)

b. File copies of security surveys performed for the purpose of recommending methods of protecting property and valuables under contract to the Treasury.

Destroy when 4 years old, or when contract is terminated, whichever is sooner.