

WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: **DAA-0265-2013-0002**

Request for Records Disposition Authority

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| Records Schedule Number | DAA-0265-2013-0002 |
| Schedule Status | Returned Without Action |
| Agency or Establishment | Department of the Treasury |
| Record Group / Scheduling Group | Records of the Office of Foreign Assets Control |
| Records Schedule applies to | Department-wide |
| Schedule Subject | Office of Foreign Assets Control (OFAC) Records Records prepared, collected, or received documenting the actions or activities to govern, implement, support, enforce, and monitor sanctions programs. |
| Internal agency concurrences will be provided | No |
| Background Information | <p>The Office of Foreign Assets Control (OFAC) was established in 1962 to administer and enforce economic and trade sanctions based on U.S. foreign policy and national security goals against targeted foreign countries and regimes, terrorists, international narcotics traffickers, those engaged in activities related to the proliferation of weapons of mass destruction, 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.</p> <p>The following records schedule items document OFAC policies and procedures to establish and maintain its responsibilities with regard to accomplishing agency functions. These records schedule items address those OFAC records not represented by the General Records Schedule (GRS), or U.S. Department of the Treasury's (Treasury) Departmental Offices Records Schedules.</p> <p>The described records are created and maintained in different media and formats and this records schedule is written to authorize the disposition of the records in any media. OFAC is responsible for maintaining these records throughout their life cycle while under the custodianship of OFAC. Records that have reached the end of their retention periods as specified in NARA approved records schedules must be disposed of unless such disposition is suspended due to Treasury or OFAC approved legal or administrative holds, or due to ongoing business requirements such as responding to a FOIA request.</p> <p>These records schedules apply to all OFAC organizational elements. All previously approved OFAC records schedules are superseded</p> |

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and cancelled by this schedule. The NARA Crosswalk document submitted in support of this SF115 submittal identifies all of the previous NARA approved records schedule items that, to the best of our knowledge and belief, are in effect until they are superseded and cancelled by this schedule.

OFAC intends to "pre-accession" selected permanent electronic records to NARA following prescribed procedures. Pre-accessioning is the process by which a copy of permanently valuable electronic records is transferred to NARA while legal custody and control over access to the records are retained by the submitting organization. OFAC will keep its duplicate copy of the electronic records and retain responsibility for responding to discovery efforts, FOIA requests, or reference inquiries until legal custody for the records is transferred to NARA. Pre-accessioning enables NARA to ensure the long-term preservation of electronic records scheduled as permanently valuable, and it enables NARA to process electronic records early in their life cycle before potential loss of access and intellectual control due to technological and program changes may occur.

NOTE: Generally, a five-year statute of limitations period is associated with administrative actions taken by OFAC under a sanctions program. Thus all records with a retention period linked to the termination of a sanctions program must be retained a minimum of five years after termination of the program or after the administrative action, if later, before disposition actions can be taken. The retention and disposition triggering dates for records whose retention period is linked to the termination of a sanctions program begin at the termination of the sanctions program.

The Simplified Records Schedules (SRS) presented herein reflect how records generated or received at OFAC need to be managed in order to satisfy specific business needs.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 0 | 0 | 0 | 7 |

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Outline of Records Schedule Items for DAA-0265-2013-0002

| Sequence Number | |
|-----------------|---|
| 1 | 1a. Routine Files and Working Papers (OFAC-D01). Disposition Authority Number: DAA-0265-2013-0002-0001 |
| 2 | 1b. Operations Case and Project Files (OFAC-D05). Disposition Authority Number: DAA-0265-2013-0002-0002 |
| 3 | 1c. Significant or Historical Documents and Reports (OFAC-DP) Disposition Authority Number: DAA-0265-2013-0002-0003 |
| 4 | 1d. Sanctions Programs Administration Working Files, Transactions, and Correspondence (OFAC-S05) Disposition Authority Number: DAA-0265-2013-0002-0004 |
| 5 | 1e. Sanctions Programs Administration Files and SDN Administration (OFAC-SP) Disposition Authority Number: DAA-0265-2013-0002-0005 |
| 6 | 2. NRI-D00 Non-Record Items Disposition Authority Number: DAA-0265-2013-0002-0006 |
| 7 | 3. REF-D00 Reference Materials Disposition Authority Number: DAA-0265-2013-0002-0007 |

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Records Schedule Items

| Sequence Number | |
|-----------------|--|
| 1 | <p data-bbox="375 412 1078 451">1a. Routine Files and Working Papers (OFAC-D01).</p> <p data-bbox="375 470 1149 502">Disposition Authority Number DAA-0265-2013-0002-0001</p> <p data-bbox="375 521 1500 889">Description. Routine files and working papers (OFAC-D01) are prepared, collected, or received documenting the actions or activities to implement, enforce, support, and monitor sanctions programs. These are routine matters that do not result in formal agency actions relating to investigations or designations, and are not immediately determined to be an official case file or project. Routine files and working papers include records such as investigation files that do not result in a SDN designation; background materials for reports; draft and working talking points and briefing papers; internal enforcement procedures and compliance program guidelines, and routine, non-precedence setting responses to requests for information.</p> <p data-bbox="375 908 927 940">Final Disposition Temporary</p> <p data-bbox="375 959 922 991">Item Status Withdrawn</p> <p data-bbox="375 1010 831 1042">Is this item media neutral? Yes</p> <p data-bbox="375 1064 831 1189">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p data-bbox="375 1208 831 1293">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="375 1312 951 1374">GRS or Superseded Authority Citation N1-056-02-4</p> <p data-bbox="375 1410 678 1442">Disposition Instruction</p> <p data-bbox="375 1464 1500 1879">Cutoff Instruction Temporary. For individual documents not associated with an aggregated document (case, folder, etc.) manage records by the date of the document. For documents that are associated with an aggregated document (case, folder, etc.), manage records by the date the matter was closed. Records, regardless of form or format, must be retained for one year after the disposition triggering date, event, or action (e.g., the date of the document or the closing date of the assigned matter). Destroy and/or delete one year after the disposition triggering date, event, or action.</p> |

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| Retention Period | Destroy 1 year(s) after disposition triggering date, event, or action |
| Additional Information | |
| GAO Approval | Not Required |
| 1b. Operations Case and Project Files (OFAC-D05). | |
| Disposition Authority Number | DAA-0265-2013-0002-0002 |
| Operations case and project files (OFAC-D05) records are prepared, collected, or received documenting the actions or activities to administer, implement, enforce, support, and monitor sanctions programs. These are matters that require management and organization of records and information into individual case or project files. Operations case and project files include records such as talking papers and briefing documents approved for release; Cuba travel program license requests; approved applications requesting the release of blocked funds; materials related to potential, proposed, or enacted legislation impacting OFAC programs; Congressional correspondence; policy planning and management, executive, and regulatory project draft and working papers not approved nor released for use; civil penalties, enforcement case files; compliance files; financial institution rejected transaction reports; U.S. person blocked property reports; program correspondence; and significant subject draft and working papers not approved nor released for use. | |
| Final Disposition | Temporary |
| Item Status | Withdrawn |
| Is this item media neutral? | Yes |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes |
| Do any of the records covered by this item exist as structured electronic data? | Yes |
| GRS or Superseded Authority Citation | N1-056-03-11 N1-056-02-4 NC1-276-76-01 NC1-265-88-01 |
| Disposition Instruction | |
| Cutoff Instruction | Manage records by the date the case file or project is closed. Destroy and/or delete five years after the case file or project is closed. |
| Retention Period | Destroy 5 year(s) after the case file or project is closed. |

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Additional Information

GAO Approval Not Required

1c. Significant or Historical Documents and Reports (OFAC-DP)

Disposition Authority Number DAA-0265-2013-0002-0003

1c. Significant or historical documents and reports (OFAC-DP) are those prepared, collected, or received documenting the actions or activities to administer, implement, enforce, support, and monitor sanctions programs. These records have been appraised by NARA to have sufficient historical value or significance to warrant continued preservation by the Federal Government as part of the National Archives of the United States. Significant or historical documents and reports include records such as final reports released to Congress or the President; approved and released policy planning and management records; aggregated/ summaries of blocked assets and claims reports; compliance program guidelines released to the public; approved and released important subject matter documents such as judicial or Congressional reports on OFAC operations and procedures; and annual "snapshots" of Information System data, system configuration data, and system documentation required to be preserved for NARA.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-056-02-4
N1-265-91-001

Disposition Instruction

Cutoff Instruction Permanent. Transfer legal custody to NARA twenty years after the date the document was published, the file was generated, or the case or matter was closed. Pre-accession "snapshots" of permanent electronic system information shall be provided to NARA annually in an acceptable medium and format.

Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after the date the document was published, the file was generated, or the case or matter was closed.

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Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Unknown

How frequently will your agency transfer these records to the National Archives? Unknown
Unknown

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1d. Sanctions Programs Administration Working Files, Transactions, and Correspondence (OFAC-S05)

Disposition Authority Number DAA-0265-2013-0002-0004

Sanctions programs administration working files, transactions, and correspondence (OFAC-S05) records are prepared, collected, or received documenting the actions or activities to administer, implement, enforce, support, and monitor sanctions programs. These records memorialize the activity and actions taken during the life of the sanctions program. Sanctions programs administration working files, transactions, and correspondence records include sanctions programs administration, managerial, directional, and executive working papers and drafts; sanctions programs correspondence and subject files; sanctions programs case and project files, and documented transactions related to property, individuals, entities, or countries that are blocked and/or designated pursuant to sanctions programs.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-056-02-4
NCI-265-88-01

Disposition Instruction

Cutoff Instruction Manage records by the date the applicable sanctions program is terminated, or by the last action date. Destroy and/or delete five years after the program is terminated, or five years after the last action date, whichever is later.

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Retention Period Destroy 5 year(s) after the program is terminated or 5 year(s) after the last action date occurs, whichever is later

Additional Information

GAO Approval Not Required

1e. Sanctions Programs Administration Files and SDN Administration (OFAC-SP)

Disposition Authority Number DAA-0265-2013-0002-0005

Sanctions programs administration files and SDN administration (OFAC-SP) records are permanent records that memorialize the governing and administration of sanctions programs, document and authorize the important decisions, actions, and accomplishments related to the mission and operations of OFAC, and support the listing, maintenance, or removal of persons or entities identified as SDNs. Sanctions programs administration files and SDN administration records include records such as final/released Executive Orders, regulations, directives, policies, guidance, evidentiary files, administrative reconsideration files, rulings or interpretations affecting OFAC mission and activities, reports on OFAC operations and procedures, etc., that result in the framework for governing and administering sanctions and other OFAC programs. They have been appraised by NARA to have sufficient historical value or significance to warrant continued preservation by the Federal Government as part of the National Archives of the United States.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-056-02-4
N1-265-91-001

Disposition Instruction

Cutoff Instruction Transfer legal custody to NARA twenty years after termination of the sanctions program.

Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after termination of the sanctions program

Additional Information

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What will be the date span of the initial transfer of records to the National Archives? Unknown
Unknown

How frequently will your agency transfer these records to the National Archives? Unknown
Unknown

2. NRI-D00 Non-Record Items

Disposition Authority Number DAA-0265-2013-0002-0006

NRI-D00 non-record items are U.S. Government-owned informational materials excluded from the legal definition of records, or not meeting the requirements of that definition. This series includes extra copies of documents kept only for convenience, email, stocks of publications and of processed documents, library or museum materials intended solely for reference or exhibition, and other materials generated or received that are of short-term interest and have no documentary or evidential value. (NOTE: This is the authority to destroy non-record items when they are no longer needed. It is not necessary that such items be placed into this bucket before deletion.)

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Cutoff Instruction Delete or destroy when the item has been determined to have served its purpose, or to no longer have business value.

Retention Period Destroy immediately after the item has been determined to have served its purpose, or to no longer have business value.

Additional Information

GAO Approval Not Required

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3. REF-D00 Reference Materials

Disposition Authority Number DAA-0265-2013-0002-0007

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REF-D00 reference materials are reports, studies, special compilations of data, periodicals, clippings, excerpts of documents, copies of records (without additional documentary or evidential value), and other materials prepared or received by OFAC staff that are needed for reference and information purposes, but are not made part of official files.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Cutoff Instruction Delete or destroy when the item or material is determined to be expired, obsolete, superseded, or to have served its business value.

Retention Period Destroy immediately after item or material is determined to be expired, obsolete, superseded, or have served its business value.

Additional Information

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Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

| Date | Action | By | Title | Organization |
|------------|-----------------------|--------------------------|-----------|--|
| 02/19/2013 | Certify | Evangela Wimbush-Jeffrey | Director | Departmental Offices - Office of Treasury Records |
| 02/19/2013 | Return for Revision | Elizabeth Greenberg | Appraiser | National Archives and Records Administration - Records Management Services |
| 02/20/2013 | Return for Revision | Elizabeth Greenberg | Appraiser | National Archives and Records Administration - Records Management Services |
| 02/22/2013 | Return Without Action | Elizabeth Greenberg | Appraiser | National Archives and Records Administration - Records Management Services |

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