

WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0265-2013-0004

Request for Records Disposition Authority

Records Schedule Number DAA-0265-2013-0004
Schedule Status Returned Without Action
Agency or Establishment Office of Foreign Assets Control
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) Consolidated Technology Systems (OCTS)
Internal agency concurrences will be provided No

Background Information

The Office of Foreign Assets Control (OFAC) of the U.S. Department of the Treasury administers and enforces 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. Many of the sanctions are based on United Nations and other international mandates, are multilateral in scope, and involve close cooperation with allied governments.

The OFAC Consolidated Technology Systems (OCTS) is comprised of a number of custom components/ modules, including the Automated Blocking and Reject Reporting System (ABaRRS), Annual Blocking and Reject Reporting System (Blocked Assets), OFAC Administrative System for Investigations and Sanctions (OASIS), Office of Global Targeting Case Management System (OGT), Specially Designated Nationals (SDN), Service Provider Regulatory Program (SPRP), and Employee Administration (EA).

OFAC currently administers over a dozen major economic sanctions programs imposed by the President under authority of the International Emergency Economic Powers Act (IEEPA) and the Trading with the Enemy Act (TWEA). OFAC publishes a list of Specially Designated Nationals (SDN) and blocked entities. All U.S. financial institutions and all persons in the United States are required to block or reject transactions linked to SDNs or blocked entities, and report their actions to OFAC within 10 days of their occurrence.

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Retentions and dispositions for records associated with OCTS are either managed by the date the document or case is closed, or by the date the sanctions program is terminated. Also, GRS 20 applies to OCTS input, system documentation, and output records.

The major OCTS-related record items to be managed are identified in the list below, and the diagram on the next page. Record item descriptions follow the diagram. The major records to be managed are:

- 1-1 OCTS Inputs
- 1-2 OCTS System Data
- 1-3 OCTS Outputs
- 1-4 OCTS System Documentation

OCTS record dispositions are governed by the type of data and by its subject matter's relationship with the applicable sanctions program.

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	11

GAO Approval

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Outline of Records Schedule Items for DAA-0265-2013-0004

Sequence Number	
1	1a3. OCTS Inputs. Disposition Authority Number: DAA-0265-2013-0004-0003
2	1a4. OCTS Inputs. Disposition Authority Number: DAA-0265-2013-0004-0004
3	1b2. OCTS Inputs. Disposition Authority Number: DAA-0265-2013-0004-0006
4	1b3. OCTS Inputs. Disposition Authority Number: DAA-0265-2013-0004-0007
5	2a1. OCTS System Data Disposition Authority Number: DAA-0265-2013-0004-0008
6	2a2. OCTS System Data. Disposition Authority Number: DAA-0265-2013-0004-0009
7	2b1. OCTS System Data. Disposition Authority Number: DAA-0265-2013-0004-0010
8	2b2. OCTS System Data. Disposition Authority Number: DAA-0265-2013-0004-0011
9	2d. OCTS System Data. Disposition Authority Number: DAA-0265-2013-0004-0012
10	3b. OCTS Outputs. Disposition Authority Number: DAA-0265-2013-0004-0014
11	3c. OCTS Outputs. Disposition Authority Number: DAA-0265-2013-0004-0015

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Records Schedule Items

Sequence Number	
1	<p data-bbox="370 417 626 449">1a3. OCTS Inputs.</p> <p data-bbox="370 470 1149 502">Disposition Authority Number DAA-0265-2013-0004-0003</p> <p data-bbox="370 523 1471 629">Electronic inputs imported into the system, when the source input data are saved as an input file and the information needs to be retained as evidence of data submittal.</p> <p data-bbox="370 651 922 683">Final Disposition Temporary</p> <p data-bbox="370 704 922 736">Item Status Withdrawn</p> <p data-bbox="370 757 829 789">Is this item media neutral? Yes</p> <p data-bbox="370 810 829 927">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="370 949 829 1034">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="370 1076 675 1108">Disposition Instruction</p> <p data-bbox="370 1129 1503 1353">Cutoff Instruction Submittals are individually retained and managed in accordance with the subject matter of the submitted information. Destroy the information: 5 years after termination of the sanctions program; or 1, 5, or 10 years after the date the document was published, the file was generated, or the case or matter was closed.</p> <p data-bbox="370 1374 1503 1513">Retention Period Destroy 5 year(s) after termination of the sanctions program or 1, 5, 10 years after the date document was published, the file was generated, or the case or matter was closed.</p> <p data-bbox="370 1555 675 1587">Additional Information</p> <p data-bbox="370 1608 959 1640">GAO Approval Not Required</p>
2	<p data-bbox="370 1661 626 1693">1a4. OCTS Inputs.</p> <p data-bbox="370 1715 1154 1747">Disposition Authority Number DAA-0265-2013-0004-0004</p> <p data-bbox="370 1768 1503 1906">Electronic inputs imported into the system, when the source input data are saved as an input file, the information needs to be retained as evidence of data submittal, and the subject matter of the submittal is deemed to have sufficient value or significance to warrant continued preservation by the Federal Government.</p>

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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

Disposition Instruction

Cutoff Instruction Annual "snapshots" of appropriate Information System inputs are required to be preserved for submission to NARA. Transfer to NARA 20 years after termination of a sanctions program, and transfer to NARA 20 years after the inputs are documented in annual system "snapshots."

Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after the termination of a sanctions program, and transfer to NARA 20 years after the inputs are documented in annual system "snapshots."

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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1b2. OCTS Inputs.

Disposition Authority Number DAA-0265-2013-0004-0006

Inputs generated or received as documents, or extracted from electronic presentations of data, or from other source materials and manually entered into the system. Inputs manually entered into the system and the input information needs to be retained as evidence of data submittal.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

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	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	Submittals are retained and managed in accordance with the subject matter of the submitted information. Destroy the information 5 years after termination of a sanctions program; or 1, 5, or 10 years after the date the document was published, the file was generated, or the case or matter was closed.
	Retention Period	Destroy 5 year(s) after termination of a sanctions program; or 1, 5, or 10 years after the date the document was published, the file was generated, or the case or matter was closed.
	Additional Information	
	GAO Approval	Not Required
4	1b3. OCTS Inputs.	
	Disposition Authority Number	DAA-0265-2013-0004-0007
	Inputs generated or received as documents, or extracted from electronic presentations of data, or from other source materials and manually entered into the system. Inputs manually entered into the system, the input information needs to be retained as evidence of data submittal, and the subject matter of the submittal is deemed by NARA to have sufficient value or significance to warrant continued preservation by the Federal Government.	
	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
	Disposition Instruction	

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	Cutoff Instruction	Submittals are retained and managed in accordance with the subject matter of the submitted information. Annual "snapshots" of appropriate Information System inputs are required to be preserved for submission to NARA. Transfer to NARA 20 years after termination of a sanctions program, and transfer to NARA 20 years after the inputs are documented in annual system "snapshots".
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 20 year(s) after termination of a sanctions program, and transfer to NARA 20 years after the inputs are documented in annual system "snapshots".
	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
5	2a1. OCTS System Data	
	Disposition Authority Number	DAA-0265-2013-0004-0008
	Input Transactions where the input information is saved as Input Transactions files. System Input Transactions saved as Input Transactions files, where individual transaction files can be deleted.	
	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	Transactions files are retained and managed in accordance with the subject matter of the submitted information. Destroy the information: 5 years after termination of a sanctions program; or 1, 5, or 10

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6	Retention Period	years after the date the document was published, the file was generated, or the case or matter was closed. Destroy 5 year(s) after termination of a sanctions program; or 1, 5, or 10 years after the date the document was published, the file was generated, or the case or matter was closed.
	Additional Information	
	GAO Approval	Not Required
	2a2. OCTS System Data.	
	Disposition Authority Number	DAA-0265-2013-0004-0009
	Input Transactions where the input information is saved as Input Transactions files. System Input Transactions saved as Input Transactions files where the subject matter of the information is deemed by NARA to have sufficient value or significance to warrant continued preservation by the Federal Government or where individual transaction files cannot be deleted.	
	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
	Disposition Instruction	
	Cutoff Instruction	Input Transactions are retained and managed in accordance with the subject matter of the information retained. Annual "snapshots" of appropriate Input Transactions files are required to be preserved for submission to NARA. Transfer to NARA 20 years after termination of a sanctions program, and transfer to NARA 20 years after the Input Transactions are documented in annual system "snapshots".
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 20 year(s) after termination of a sanctions program, and transfer to NARA 20 years after the Input Transactions are documented in annual system "snapshots".
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
7	2b1. OCTS System Data.	
	Disposition Authority Number	DAA-0265-2013-0004-0010
	Transactional Data files where individual transactions are collected and saved as a recognizable input item(s) (i.e. by case identification). System Transactional Data, when collected and saved as a recognizable input item(s) (i.e. by case identification) where individual transaction data items can be deleted.	
	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	System Transactional Data items are retained and managed in accordance with the subject matter of the submitted information. Destroy the information: 5 years after termination of a sanctions program; or 1, 5, or 10 years after the date the document was published, the file was generated, or the case or matter was closed.
	Retention Period	Destroy 5 year(s) after after termination of a sanctions program; or 1, 5, or 10 years after the date the document was published, the file was generated, or the case or matter was closed.
	Additional Information	
	GAO Approval	Not Required
8	2b2. OCTS System Data.	
	Disposition Authority Number	DAA-0265-2013-0004-0011

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Transactional Data files where individual transactions are collected and saved as a recognizable input item(s) (i.e. by case identification). System Transactional Data, when collected and saved as a recognizable input item(s) (i.e. by case identification) where the subject matter of the information is deemed to have sufficient value or significance to warrant continued preservation by the Federal Government or where individual transaction files cannot be deleted.

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

Disposition Instruction

Cutoff Instruction System Transactional Data items are retained and managed in accordance with the subject matter of the submitted information. Annual "snapshots" of appropriate information transactional data are required to be preserved for NARA. Transfer to NARA 20 years after termination of a sanctions program, and transfer to NARA 20 years after the System Transactional Data items are documented in annual system "snapshots".

Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after termination of a sanctions program, and transfer to NARA 20 years after the System Transactional Data items are documented in annual system "snapshots".

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

2d. OCTS System Data.

Disposition Authority Number DAA-0265-2013-0004-0012

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Integrated Data section where the individual components of data are stored in a manner that enables the system to present the necessary information.

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

Disposition Instruction

Cutoff Instruction System Integrated Data is retained and managed in accordance with the subject matter of the submitted information. Annual "snapshots" of appropriate integrated data files are required to be preserved for NARA. Transfer to NARA 20 years after termination of a sanctions program, and transfer to NARA 20 years after the System Integrated Data is documented in annual system "snapshots".

Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after termination of a sanctions program, and transfer to NARA 20 years after the System Integrated Data is documented in annual system "snapshots".

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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3b. OCTS Outputs.

Disposition Authority Number DAA-0265-2013-0004-0014

Standard or ad hoc system queries or search results printed or published as reports, print screen images of on-screen displays, or other documents in paper formats that become individual records.

Final Disposition Temporary

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	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	Printed search results and published reports are individual records retained and managed in accordance with the subject matter of the outputs. Destroy the information: 5 years after termination of a sanctions program; or 1, 5, or 10 years after the date the document was published, the file was generated, or the case or matter was closed.
	Retention Period	Destroy 5 year(s) after termination of a sanctions program; or 1, 5, or 10 years after the date the document was published, the file was generated, or the case or matter was closed.
	Additional Information	
	GAO Approval	Not Required
11	3c. OCTS Outputs.	
	Disposition Authority Number	DAA-0265-2013-0004-0015
	c. Standard or ad hoc system queries or search results printed or published as reports or other documents in paper or electronic formats that become individual records where the subject matter of the information is deemed to have sufficient value or significance to warrant continued preservation by the Federal Government.	
	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

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Disposition Instruction

Cutoff Instruction

System Outputs are retained and managed in accordance with the subject matter of the output information. Transfer to NARA 20 years after termination of a sanctions program, or transfer to NARA 20 years after the date the document was published, the file was generated, or the case or matter was closed.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 20 year(s) after termination of a sanctions program, or transfer to NARA 20 years after the date the document was published, the file was generated, or the case or matter was closed.

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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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
02/20/2013	Certify	Evangela Wimbush-Jeffrey	Director	Departmental Offices - Office of Treasury Records
05/19/2015	Return Without Action	Elizabeth Greenberg	Appraiser	National Archives and Records Administration - Records Management Services

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