

WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0265-2013-0005

Request for Records Disposition Authority

Records Schedule Number: DAA-0265-2013-0005
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: Agency-wide
Schedule Subject: General Management, and Sanctions Enforcement and Penalization.
Internal agency concurrences will be provided: No

Background Information: 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.

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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	3

GAO Approval

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Records Schedule: DAA-0265-2013-0005

Outline of Records Schedule Items for DAA-0265-2013-0005

Sequence Number	
1	0001 General Management (Historically Significant) Disposition Authority Number: DAA-0265-2013-0005-0001
2	0002. General Management (All other records) Disposition Authority Number: DAA-0265-2013-0005-0002
3	0003. Sanctions Enforcement and Penalization Disposition Authority Number: DAA-0265-2013-0005-0003

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Records Schedule: DAA-0265-2013-0005

Records Schedule Items

Sequence Number	
1	<p>0001 General Management (Historically Significant)</p> <p>Disposition Authority Number DAA-0265-2013-0005-0001</p> <p>This item pertains to reports, correspondence, subject files, and other records that document highly significant actions and decisions related to the management of the Office of Foreign Assets Control, its divisions or individual sanctions programs. Records include (but are not limited to): significant policy and program procedure documents (final versions); legal opinions, rulings or interpretations effecting the office's mission and activities (final versions); high-level briefing materials and reports, such as those provided to Congress, the Secretary of the Treasury, etc.; highly significant ad hoc reports and studies on program operations. Examples of existing series covered by this item include: global targeting talking points/ briefing papers/reports (final versions); licensing policy files; policy, planning and management program records (final documents); and sanctions program correspondence files (subject files - significant subjects).</p> <p>Final Disposition Permanent</p> <p>Item Status Withdrawn</p> <p>Is this item media neutral? Yes</p> <p>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>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>GRS or Superseded Authority Citation N1-056-02-004 / 17 N1-056-02-004 / 23 N1-056-02-004 / 25/a N1-056-02-004 / 26 N1-056-02-004 / 34 N1-056-02-004 / 37/b/1</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff policy and procedural files when superseded, obsolete, or canceled, and all other files at the end of the calendar year.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff .</p>

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Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
N/A

How frequently will your agency transfer these records to the National Archives? **Unknown**
N/A

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0002. General Management (All other records)

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

This item pertains to all other general management files not covered by item 0001 above, such as routine reports, subject files, and other records that document actions and decisions related to the management of the Office of Foreign Assets Control, its divisions, or individual sanctions programs. Records include (but are not limited to): low-level policy and program procedure documents; low-level talking points and briefing papers; documents related to potential, proposed, or enacted legislation; routine general correspondence, other than specific requests that require a license or creation of a case file, in which OFAC has provided opinions, or advice related to engagement in certain activities; finding aids for correspondence; drafts and working papers used in preparing reports or studies; routine memorandums; working files used in preparing reports or studies; background material used to prepare reports; and preliminary drafts of policy documents.

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
N1-056-02-004 / 24
N1-056-02-004 / 25/b
N1-056-02-004 / 26
N1-056-02-004 / 34
N1-056-02-004 / 36
N1-056-02-004 / 37/a
N1-056-02-004 / 37/b/1
N1-056-02-004 / 38/a
N1-056-02-004 / 38/b

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N1-056-02-004 / 17
N1-056-02-004 / 23
N1-056-02-004 / 37/b/2

Disposition Instruction

Cutoff Instruction

Cutoff policy and procedural files when superseded or canceled, and all other files at the end of the calendar year.

Retention Period

Destroy when 5 years old.

Additional Information

GAO Approval

Not Required

0003. Sanctions Enforcement and Penalization

Disposition Authority Number

DAA-0265-2013-0005-0003

This item pertains to records created or compiled in the course of enforcing sanctions programs and the administration of civil monetary penalties for violations of the sanctions programs. Records include (but are not limited to): investigative reports of suspected/actual violations of statutes/regulations relative to financial, commercial or other transactions with targeted foreign countries, entities, or individuals; enforcement cases resulting in no criminal prosecution or administrative action; enforcement cases resulting only administrative action; blocked assets civil penalties case files, procedures for implementing civil penalties; and records of individual cases related to the imposition of penalties.

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?

No

GRS or Superseded Authority Citation

N1-056-02-004 / 5
N1-056-02-004 / 6
N1-056-02-004 / 7
N1-056-02-004 / 13/a
N1-056-02-004 / 13/b

Disposition Instruction

Cutoff Instruction

Cut off files at the end of the calendar year.

Retention Period

Destroy 5 years after cutoff.

Additional Information

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GAO Approval

Not Required

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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
07/29/2015	Return for Revision	Elizabeth Greenberg-Taubel	Appraisal Archivist	National Archives and Records Administration - Records Management Services
09/14/2015	Submit For Certification	Evangela Wimbush-Jeffrey	Director	Departmental Offices - Office of Treasury Records
10/02/2015	Certify	Evangela Wimbush-Jeffrey	Director	Departmental Offices - Office of Treasury Records
10/25/2017	Return for Revision	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
11/21/2017	Submit For Certification	Nicole Jacobs	Records and Information Management Specialist	Assistant Secretary for Management - Privacy, Transparency and Records
11/21/2017	Certify	Nicole Jacobs	Records and Information Management Specialist	Assistant Secretary for Management - Privacy, Transparency and Records
12/19/2017	Return for Revision	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
01/09/2018	Submit For Certification	Nicole Jacobs	Records and Information Management Specialist	Assistant Secretary for Management - Privacy, Transparency and Records

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01/09/2018	Certify	Nicole Jacobs	Records and Information Management Specialist	Assistant Secretary for Management - Privacy, Transparency and Records
06/06/2018	Return Without Action	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1

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