REQUEST FOR RECORDS DISPOSITION AUTHORITY

To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

1. FROM (Agency or establishment)
   Department of the Treasury

2. MAJOR SUBDIVISION
   Financial Crimes Enforcement Network (FinCEN) (RG 559)

3. MINOR SUBDIVISION
   Office of the Director

4. NAME OF PERSON WITH WHOM TO CONFER
   Amanda Michanczyk

5. TELEPHONE NUMBER
   703-905-3537

6. 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 on the attached page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

   ☒ is not required  ☐ is attached; or  ☐ has been requested.

6/23/2011

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION
   The Financial Crimes Enforcement Network (FinCEN) (Record Group 559) became a bureau in the Department of the Treasury with the signing of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism (USA PATRIOT ACT) Act of 2001. The mission of FinCEN is to fulfill the duties and powers assigned in the USA PATRIOT Act of 2001, codified in relevant part at 31 U.S.C. 310(b), to support law enforcement efforts and foster interagency and global cooperation against domestic and international financial crimes, and to provide U.S. policy makers with strategic analyses of domestic and worldwide trends and patterns. FinCEN works toward those ends through information collection, analysis, and sharing, as well as technological assistance and innovative, cost-effective implementation of the Bank Secrecy Act and other Treasury authorities assigned to FinCEN.
   This records disposition schedule is intended to update NI-56-95-3 dated 7-13-95 signed 1-8-98.

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

STANDARD FORM 115 (REV. 3-91)

PREVIOUS EDITION NOT USABLE

115-109

N1-SS 9-11-1

Date received 6/24/11

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked “disposition not approved” or “withdrawn” in column 10.

DATE ARCHIVIST OF THE UNITED STATES

Amanda Michanczyk

SIGNATURE OF AGENCY REPRESENTATIVE

Records Officer
OFFICE OF THE DIRECTOR

The Director oversees FinCEN’s efforts as administrator of the Bank Secrecy Act (BSA) to establish and implement regulations and policies to detect and prevent money laundering and terrorist financing, support the law enforcement, regulatory and intelligence communities through the sharing and analysis of financial intelligence, and regulate a wide variety of businesses defined as financial institutions under the BSA. The Office of the Director works in partnership with Congress, federal and state regulators, and the financial services industry for balanced administration of the BSA, which authorizes the collection, analysis, and dissemination of financial information important to the prevention of money laundering and terrorist financing, as well as the imposition of program and recordkeeping requirements on financial institutions.
This schedule applies to all formats and media in which records are created and maintained at FinCEN including paper, microfilm, and electronic records.

1. Program Files: Primary program files of the Office of the Director including memoranda, reports, studies, special projects, briefings, correspondence, meeting agenda, implementing plans, substantive email messages, and project files related to the functions, operations and management of FinCEN programs and staff. Arranged by number or alphabetically by subject.

Disposition: PERMANENT. Cut off at the end of the fiscal year. Paper Records: Transfer paper records to NARA 20 years after cutoff. Electronic Records: Transfer electronic records to NARA as a pre-accession 5 years after cutoff. Approve legal transfer of electronic records to NARA 20 years after cutoff. (Delete FinCEN copies of pre-accessioned records when no longer needed.)

2. Organization, Authorities, Functions, and Reorganization Plan Files: Historically significant records documenting FinCEN’s establishment, policy, and organization. Includes record copies of laws and regulations, organizational charts, functional statements, directives and delegation orders.

   a. Establishments and Authorities Files. Documents establishing the Financial Crimes Enforcement Network and its responsibilities. FinCEN will maintain a reference set of these files for ongoing use by staff, which may be destroyed when no longer needed.

   Disposition: PERMANENT. Return for the life of the bureau. Transfer to NARA upon disposition of the bureau.

   b. Organizational Files. Organizational charts, functional statements, and reorganizational authorities and charts.

   Disposition: PERMANENT. Cut off at end of fiscal year in which superseding reorganization occurs. Paper Records: Transfer paper records to NARA 20 years after cutoff. Electronic Records: Transfer electronic records to NARA as a pre-accession 5 years after cutoff. Approve legal transfer of electronic records to NARA 20 years after cutoff. (Delete FinCEN copies of pre-accessioned records when no longer needed.)

(Supersedes N1-56-95-3, Item 4.)

Disposition: PERMANENT. Cut off at end of fiscal year in which policy is superseded. Paper Records: Transfer paper records to NARA 20 years after cutoff. Electronic Records: Transfer electronic records to NARA as a pre-accession 5 years after cutoff. Approve legal transfer of electronic records to NARA 20 years after cutoff. (Delete FinCEN copies of pre-accessioned records when no longer needed.)

(Supersedes N1-56-95-3, Item 5a.)

d. Reference Copies. Reference copies of all records described in 1 and 2 above. Records are non-record reference.

Disposition: TEMPORARY. Delete/Destroy when no longer needed for reference.

(Supersedes N1-56-95-3, Item 5b.)

3. Tracking Files: Files documenting status of cases, correspondence, or other actions.

Disposition: TEMPORARY. Delete/Destroy when no longer needed for reference.

4. Public Affairs Files: Records documenting dealings with the media on the work of FinCEN and records documenting communications with the public, Congress, and other partners.


Disposition: PERMANENT. Cut off at end of fiscal year when published or project completed. Paper Records: Transfer paper records to NARA 20 years after cutoff. Electronic Records: Transfer electronic records to NARA as a pre-accession 5 years after cutoff. Approve legal transfer of electronic records to NARA 20 years after cutoff. (Delete FinCEN copies of pre-accessioned records when no longer needed.)

(Supersedes N1-56-95-3, Items 3a, c & d.)

b. Record set of FinCEN publications, Reports to Congress, Annual Reports, Strategic Reports, Director's Weekly Reports to Treasury, and records for special projects and exhibitions.

Disposition: PERMANENT. Cut off at end of fiscal year when published or project completed. Paper Records: Transfer paper records to NARA 20 years after cutoff. Electronic Records: Transfer electronic records to NARA as a pre-accession 5 years after cutoff. Approve legal transfer of electronic records to NARA 20 years after cutoff. (Delete FinCEN copies of pre-accessioned records when no longer needed.)

(Supersedes N1-56-95-3, Items 1a & 2)
e. Development files for products described in 4a & b above including drafts, notes, and calculations used to prepare publications and other communications; also includes administrative arrangements for media relations.

Disposition: TEMPORARY. Cut off at end of fiscal year in which products are published or completed. Delete/Destroy one year after cut off or when no longer needed for reference.

(Supersedes NI-56-95-3, Item 1b.)

d. News Clips of general interest to FinCEN

Disposition: TEMPORARY. Delete/Destroy when no longer needed for reference.

(Supersedes NI-56-95-3, Item 3e.)

e. Records regarding maintaining FinCEN Web pages. The records include email messages requesting postings and/or changes to web pages and messages showing that requests were fulfilled, and the attachments that need to be posted to the web pages.

Disposition: TEMPORARY. Cut off at end of calendar year in which requests were fulfilled. Delete/Destroy one year after cut off.

5. Congressional and Outreach Liaison: Records documenting FinCEN’s liaison work with key partners including members of Congress, congressional committees, financial institutions, government agencies, professional and trade associations, and academia.

a. Speeches and congressional testimony, biographies, briefing papers, meeting agendas, trip reports, BSA value-briefings, presentations, correspondence, and memorandums, and records of the Bank Secrecy Act Advisory Group meetings.

Disposition: PERMANENT. Cut off at end of fiscal year or when project is completed. Paper Records: Transfer paper records to NARA 20 years after cutoff. Electronic Records: Transfer electronic records to NARA as a pre-accession 5 years after cutoff. Approve legal transfer of electronic records to NARA 20 years after cutoff. (Delete FinCEN copies of pre-accessioned records when no longer needed.)

(Supersedes NI-56-95-3, Item 3b.)

b. Development files for products and projects described in 5a including files on individual members of Congress containing information about their views and concerns and logistical arrangements for Outreach visits, correspondence, and news clippings.
Disposition: TEMPORARY. Cut off at end of fiscal year in which products or projects are published or completed. Delete/Destroy one year after cut off or when no longer needed for reference.

6. Schedules of Daily Activities: Appointment calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, and visits.
   a. Director's appointment calendar.
      Disposition: PERMANENT. Cut off at end of the fiscal year. Paper Records: Transfer paper records to NARA 20 years after cutoff. Electronic Records: Transfer electronic records to NARA as a pre-accession 5 years after cutoff. Approve legal transfer of electronic records to NARA 20 years after cutoff. (Delete FinCEN copies of pre-accessioned records when no longer needed.)
   b. Other employees' appointment calendars.
      Disposition: TEMPORARY. Delete/Destroy when no longer needed for convenience or reference. (General Records Schedule (GRS) 23, item 5b)
   c. Notes, diaries, journals to assist in documenting daily activities and to-do lists, which contain no substantive information; and notes, diaries, journals containing substantive information, the substance of which has been incorporated into organized files.
      Disposition: TEMPORARY. Delete/Destroy when no longer needed for convenience or reference. (GRS 23, item 5b)

7. Foreign Gifts: Consists of records documenting the receipt and reporting of foreign government gifts to FinCEN. FinCEN records are copies of the original records, which are maintained at the Department of the Treasury.
   Disposition: TEMPORARY. Cut off at end of fiscal year when received. Delete/destroy when 5 years old or when no longer needed for further reference, whichever is later.

8. Travel Files: Consists of files documenting travel by staff, including travel orders, settled vouchers, information about per diem, etc.
   Disposition: TEMPORARY. Cut off at end of fiscal year. Delete/destroy 6 years after cutoff. (GRS 9, item 1a)

9. Transitory Files. Records of short-term (180 days or less) interest, including in electronic form (e.g. email messages), which have minimal or no documentary or evidential value such as routine requests for information, notifications of meetings, transmittals, etc.
10. Technical Reference. Consists of copies of publications and other documents issued by other agencies, countries, financial institutions, professional and trade associations, etc.

NON-RECORD: Destroy when no longer needed for reference or when superseded, whichever is sooner.
AGENCY REVIEW OF NARA TECHNICAL REQUIREMENTS FOR PERMANENT ELECTRONIC RECORDS

Portable Document Format (PDF)

Please respond to the following questions by circling "yes" or "no". For each question where a "no" response is indicated, please attach supplemental information explaining how the question is handled in your agency.

Upon completion please sign and submit to NARA with the proposed SF-115 for the related permanent electronic records.

Record Series:

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes/No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Do the PDF records comply with PDF versions 1.0 through 1.4?</td>
<td>Y/N</td>
</tr>
<tr>
<td>2. Are all PDF security settings limiting access deactivated?</td>
<td>Y/N</td>
</tr>
<tr>
<td>3. Are all referenced fonts in the PDF records either included or embedded?</td>
<td>Y/N</td>
</tr>
<tr>
<td>4. Are the PDF records created from scanned images?</td>
<td>Y/N</td>
</tr>
<tr>
<td>If yes, please attach a completed Agency Certification form for scanned images of textual records.</td>
<td></td>
</tr>
<tr>
<td>5. Do the PDF records contain embedded files (e.g., attached word processing files) or form data?</td>
<td>Y/N</td>
</tr>
<tr>
<td>6. If yes, will this information be captured and transferred to NARA separately from the PDFs?</td>
<td>Y/N</td>
</tr>
<tr>
<td>7. Are there finding aids and other relevant technical documentation associated with the records that can be transferred to NARA?</td>
<td>Y/N</td>
</tr>
<tr>
<td>8. Are there provisions for assuring the integrity and continued usability of the electronic records until they are ready for transfer to NARA?</td>
<td>Y/N</td>
</tr>
</tbody>
</table>

Designated Agency Representative: [Signature]

Date: 12/1/2011

Rev 12/22/2008
AGENCY REVIEW OF NARA TECHNICAL REQUIREMENTS FOR PERMANENT ELECTRONIC RECORDS

Scanned Images of Textual Records

Please respond to the following questions by circling "yes" or "no". For each question where a "no" response is indicated, please attach supplemental information explaining how the question is handled in your agency.

Upon completion please sign and submit to NARA with the proposed SF-115 for the related permanent electronic records.

<table>
<thead>
<tr>
<th>Record Series/System:</th>
</tr>
</thead>
</table>

1. Are the electronic records maintained in one of the four file format(s) accepted by NARA (e.g., TIFF, GIF, BIIF, PNG)? Y/N

2. Do the electronic records meet NARA's minimum image resolution requirements? Y/N

3. Are the electronic records maintained in an uncompressed file format? Y/N

4. Are there finding aids and other relevant technical documentation associated with the records that can be transferred to NARA? Y/N

5. Are records of quality control inspections performed on the records available for NARA review? Y/N

6. Are there provisions for assuring the integrity and continued usability of the electronic records until they are ready for transfer to NARA? Y/N

Designated Agency Representative: [Signature]

Date: 12/1/2011

Rev 12/22/2008