REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

JOB NUMBER

N1–060–06–6

DATE RECEIVED

7-20-2006

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

1 FROM (Agency or establishment) United States Department of Justice	
2 MAJOR SUBDIVISION Justice Management Division	
3 MINOR SUBDIVISION Asset Forfeiture Management Staff	

4 NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Jade Tavaglione 6 July 06	202-616-8000	6/12/06	Allen Weinste

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 _2_ 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

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

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
7-7-06	Bernard W. Berglind	Records Officer

7. ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Consolidated Asset Tracking System The Consolidated Asset Tracking System (CATS) captures and records the inventory of seized and forfeited assets in the Department of Justice's (DOJ) Assets Forfeiture Fund. In support of federal government participants in DOJ's Asset Forfeiture Program (AFP) it meets operational and management reporting needs for all phases of the asset forfeiture life-cycle including the following major business processes: seizure of assets; transfer and custody of seized assets; automation of legal notification and publication requirements; receipt and processing of claims contesting the government's grounds for forfeiture; petition receipt and processing; litigation and administrative proceedings culminating in asset forfeiture; disposal; and equitable sharing. Reports are generated to meet both operational and managerial needs internally, as well as external reporting requirements. The external reporting (which is published on the DOJ-AFP website) includes financial statement reporting and other statutory requirements (see 28 U.S.C. 524(c)(6)(A)(1-vii)). All reports available to the public have been redacted of names, social security numbers, addresses, and other personal identifiers.		

6/27/07 Copies sent to Appg, NWMD/NWME, NWMW, NWCT, NR

The CATS database is a single, integrated asset forfeiture information system, which tracks assets through the entire process from seizure to disposition, and contains over 1,100 possible data elements associated with each asset seized for forfeiture.

CATS data is input by ten different federal agencies that enter asset specific data concerning their 'role' in the life cycle process of asset forfeiture. The investigating agencies enter data relating to the how, what, and why an asset is seized. The custodial agencies enter data reflecting expenses, condition, and physical location of an asset   The custodial agencies can not enter data, and in fact do not take custody of an asset unless the asset is already resident in CATS. The same constraints apply to the components whose duties are the litigation or deciding petitions of assets. The Asset Forfeiture Management Staff (AFMS) is tasked with the development and maintenance of CATS and does not enter any data into CATS.

CATS was developed to enable participating components and agencies and their field agents to have ready access to data on the status and results of their civil and criminal seizure actions and forfeiture cases. The system provides consistency among the several offices performing forfeiture functions. The system also generates notice letters to parties with potential interest in the seized assets, advertising notices for seized assets, and agency and program specific forms which codify the milestones of assets in their 'life cycle'. CATS is also used to produce reports on a continuing basis for the Attorney General, Congress, and participating agencies on inventories and information on program income and expenses.

While CATS generates the documents listed in the above paragraph, no copy of these documents is retained by the system as they are created by merging a user selected template with pre-defined elements from the database. CATS captures the information that a type of document was generated (and could be re-generated); however, no image or file contains the generated document.

Input data may be entered into CATS by the following 10 agencies/bureaus/offices, all participants in DOJ's Asset Forfeiture Program: Asset Forfeiture & Money Laundering Section, Criminal Division; US Attorney offices; Drug Enforcement Administration; Federal Bureau of Investigation; US Marshals Service; Bureau of Alcohol, Tobacco, Firearms and Explosives; the Food & Drug Administration; US Department of Agriculture; US Department of State; and US Postal Inspection Service. These are the sole entities that enter CATS data. There are no intermediate data repositories; data is entered into the system in real time. AFMS does not create or maintain any input records. It is the participants responsibility to adhere to the applicable records management schedules.

AFMS can only articulate data/record retention for the AFMS staff. The output data generated by the system's users or for verified recipients of CATS data e.g., FOIA requests, audit material, standard reports and ad hoc reports, are the responsibility of the recipient. It is their responsibility to adhere to the applicable records management schedules.

1. **Data**. CATS is a browser based thin client system that is run on several servers maintained by AFMS at the Justice Data Center in Rockville, MD. CATS is an asset driven system; all data is in the system only if an asset was seized for forfeiture under a statute, the proceeds of which are designated to be deposited in the Assets Forfeiture Fund. Each asset in CATS is assigned a unique 'asset identification number' that does not change as the asset goes through the forfeiture process. Each record (asset) in the system includes data fields pertaining to the administration, seizure, custody, notification, claim, petition, forfeiture, disposal, equitable sharing, official use, income and expenses, service of process, and abandonment of property seized for forfeiture.

    Disposition. Destroy/delete 15 years after final disposition of the forfeited asset.

2. **System Documentation**. The AFMS maintains and updates system documentation.

    Disposition. Destroy/delete when superceded or obsolete.

3. **Reports**

    a. Reports generated internally to meet operational and managerial needs.

        Disposition. Retain for 10 years after satisfactory completion of audit, then destroy.

    b. Public reports which are redacted of any personal identifiers, ~~and published on the DOJ AFP website.~~

        R.0 concurrence via email 1/23/07

        Disposition. Destroy/delete annually when 15 years old

4. **Electronic Version of E-mail Messages and Word Processing Documents.** Capture of email record information into another record keeping system, whether paper or electronic, means capture of email and content and contextual information. Capture should include message content, attachments, available transmission and receipt information that reflects when the email was created, and the names of all recipients.

    GRS 20
    13/14

    Disposition. Delete after capture into an appropriate DOJ record keeping system.