

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		HAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>N1-265-09-1</i>	
1 FROM (Agency or establishment) Department of the Treasury		DATE RECEIVED <i>6/22/09</i>	
2 MAJOR SUBDIVISION Office of Foreign Assets Control		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request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Sanction Support Division			
4 NAME OF PERSON WITH WHOM TO CONFER James B Thorstad	202-622-1284	DATE	ARCHIVIST OF THE UNITED STATES WITHDRAWN
5 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 <u>15</u> pages(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, <input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <i>6/9/09</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Grant G. ...</i>		TITLE <i>DO Records Officer</i>
7 ITEM NO	8 DESCRIPTION OF ITEM OF PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Office of Foreign Assets Control (OFAC) Consolidated Technology Systems (OCTS) Background: The Office of Foreign Assets Control (OFAC) of the US Department of the Treasury administers and enforces economic and trade sanctions based on US 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 US 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 Office of Foreign Assets Control (OFAC) Consolidated Technology Systems (OCTS) is comprised of the many custom components that reside on dedicated system hardware and software, which includes the Automated Blocking and		

Reject Reporting System (ABaRRS), Annual Blocking and Reject Reporting System (Blocked Assets), Cuba Travel and Licensing (CTAL), Foreign Assets Control Database (FACDB), International Programs Case Information System (IPCIS), Specially Designated Nationals, Service Provider Regulatory Program (SPRP), and Employee Administration (EA)

The Office of Foreign Assets control (OFAC) currently administers over a dozen major economic sanction programs imposed by the President under authority of the International Economic Powers Act and the Trading with the Enemy Act. 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 SDN's or blocked entities and reject certain other transactions and report their actions to OFAC within 10 days of occurrence.

I. Automated Blocking and Reject Reporting System (ABaRRS)

Description:

ABaRRS is a custom web-based interface that electronically tracks and stores blocked or rejected transactions in accordance with U.S. economic sanctions policy. Transaction information is either provided electronically or mailed/fax by financial institutions. As transactions are imported into ABaRRS, they are reviewed and investigated by OFAC personnel to determine if any transaction appears to be unusual or if further action is necessary.

a.) Inputs:

The financial institutions submit information to a secure storage area of the Department of Treasury Secure Environment Gateway (SEG) with the use of Department of the Treasury Public Key Infrastructure (PKI) certification and authentication privileges. OFAC administers the issuance and maintenance of certifications for the financial institution. The secure storage area in the SEG and the ABaRRS system inside the OFAC firewall is available to users with specific ABaRRS privileges and roles.

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Financial institutions access the web-based ABarRS application through the PKI. This certificate and authentication process allows for secure access and single sign-on. To access the system, the financial institutions need to employ the Internet Explorer browser and Java Virtual Memory (JVM). The browser must be configured to accept cookies. The OFAC server has the java toolkit and Entrust TruePass toolkit to verify the user password based on the cookie and grants access to the web application.

Data is entered manually on a daily, ad hoc basis via the Web Interface.

Disposition: TEMPORARY Destroy 1 year after superseded, obsolete, or no longer needed for business purposes, whichever is later.

b.) System Data:

All information collected by OCTS is collected from external users. Specifically, the ABarRS component of OCTS supports the collection of blocked transaction information provided by U.S. financial institutions. Periodically, financial institutions submit information electronically or in the form of mailed and/or faxed documents on each blocked or rejected transaction to include wire transfers, letter of credits, and checks. The informational content of these transactions include transaction type, money amount, transaction made and transaction ID. These transactions are then processed by OFAC Compliance Division employees and contractors.

Disposition: TEMPORARY Destroy 1 year after superseded, obsolete, or when no longer needed for business purposes, whichever is later.

c.) Outputs:

Creates COMPL/Enforcement case within ABarRS

Hard copy printouts created to meet ad hoc business needs (GRS 20 Item 16)

Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs.

Disposition: TEMPORARY Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain

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substantive information, such as substantive annotations, that is not included in the electronic records (Printouts that contain substantive information should be disposed of in accordance with the NARA-approved schedule that covers the series in which they are filed)

d.) System Documentation:

OFAC IT System Profile ABARRS Final
DOX060019 8 0 0006 1-20081210 doc

Codebooks, records layout, user guide, and other related materials

Disposition: Temporary Delete/destroy when superseded or 5 years after the system is terminated, whichever is sooner

II. Annual Blocked Property Report (Blocked Assets)

Description:

OFAC publishes a list of Specially Designated Nationals (SDN) and Blocked entities. All U S financial institutions and all entities in the United States are required to block or reject transactions linked to SDNs and report their actions to OFAC within 10 days of occurrence. As part of this process, each calendar year, all institutions who file a reject or blocking report during the year are required to submit an annual report. This report serves as a compilation of all of the blocking/reject reports filed during the year. The purpose of the Blocked Assets System is to provide the institutions with the means to electronically file this annual report.

a.) Inputs:

Electronic submission by U S financial institutions of annual blocking reports, are submitted as excel spreadsheets or as filled-out paper forms that are scanned and OCR'd (ASCII, XLS, etc) and loaded into the BLKASSETSADMIN table of the FACDB. Reports are due on or about June 1 and entry/loading of the data is completed between June 1 and the close of the fiscal year.

Disposition: TEMPORARY Destroy 10 years after reconciliation

b.) System Data:

Information is collected from external users. The

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content of the information includes institution names and contacts, institution addresses, telephone numbers, asset owners, types and money value and regulations, blocked assets, person holding ID and an institution unique identifying number

Disposition: TEMPORARY Destroy 10 years after reconciliation

c.) Outputs:

Outputs/products include the Terrorism Asset Report, Presidential Reports to Congress, ad hoc reports on the disposition of blocked assets for TRIEA and other types of litigation

Hard copy printouts created to meet ad hoc business needs (GRS 20 Item 16)

Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs

Disposition: TEMPORARY Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records (Printouts that contain substantive information should be disposed of in accordance with the NARA-approved schedule that covers the series in which they are filed)

d.) System Documentation:

OFAC IT System Profile Blocked Assets, Final DOX060019 8 0 0006 2-20081210 doc

Codebooks, records layout, user guide, and other related materials

Disposition: Temporary Delete/destroy when superseded or 5 years after the system is terminated, whichever is sooner

III. Cuba Travel and Licensing (CTAL)

Description:

CTAL is a custom web-based interface that facilitates the issuance of specific licenses in accordance with the Cuban Assets Control Regulations. Specifically, CTAL allows public users to submit required

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information and complete a Request for a Specific License to Visit an Immediate Family Member in a 36 Month Period application. All submitted data is imported into CTAL, stored in the Foreign Assets Control Database, and reviewed by OFAC personnel to determine if a license may be issued to authorize travel-related transactions or visits to immediate family members who are nationals of Cuba. In addition, OFAC personnel may use the system to perform an automated travel history and transaction history to verify that the applicant is eligible for travel to Cuba under the Family Travel Program.

a.) Inputs:

CTAL (aka FastRequest) immediate family travel data is input by members of the public through the web-interface and is captured in a XML file format on a public server located at the Qwest SEGway location. A scheduled sweep application retrieves data from the SEGway public server every 60 minutes for upload into CTALADMIN. Once loaded to the CTALADMIN tables, database triggers automatically load/update the data as a "repository" record in the Foreign Asset Control Database (FACDB) (OFACPROD) schema tables.

Disposition: TEMPORARY Destroy after successful entry and verification

b.) System Data:

All information collected by OCTS is collected from external users. CTAL is another component that also collects information. In response to an announcement by the Executive Office on May 06, 2004 a regulatory change that affects the Cuban Assets Control Regulations, requires that individuals subject to U.S. jurisdiction will be required to obtain a specific license and meet modified qualification standards if they seek to visit close relatives in Cuba. As a result, CTAL supports the collection of information from these individuals in order to expedite the processing and approval of travel licenses. Information submitted by individuals includes personal identifiable information such as name, date of birth, mailing address, passport number, as well as personal information pertaining to those individuals the applicant is visiting.

Disposition: TEMPORARY Cut off files annually Destroy 5 years after cut off

c.) Outputs:

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FACDB (FACDB is a custom web-based interface that stores all mail records, licensing information, and unclassified case data) correspondence and licensing

Hard copy printouts created to meet ad hoc business needs (GRS 20 Item 16)

Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs

Disposition: TEMPORARY Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records (Printouts that contain substantive information should be disposed of in accordance with the NARA-approved schedule that covers the series in which they are filed)

d.) System Documentation:

OFAC IT System Profile CTAL FastRequest Final
DOX060019 8 0 0006 1-20081202 doc

Codebooks, records layout, user guide, and other related materials

Disposition: Temporary Delete/destroy when superseded or 5 years after the system is terminated, whichever is sooner

IV. Foreign Assets Control Database (FACDB):

Description:

FACDB is a custom web-based interface that stores all mail records, licensing information, and unclassified case data OFAC personnel search the database to locate and open any records stored within the application

a) Inputs:

FACDB is built on an Oracle database and includes a custom web-based interface, it stores all mail records, licensing information, and unclassified case data OFAC personnel search the database to locate and open any records stored within the application The

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application is available to the OFAC user base, and is only accessible within the Departmental Offices firewall

Disposition: TEMPORARY Delete/destroy 3 years after successfully entered and verified for accuracy

b.) System Data:

The informational content consists of names, addresses, telephone, license application information such as application / FAC number, and license number

Disposition: PERMANENT Retire to Washington National Records Center after 5 years or when no longer needed Transfer to NARA after 10 years

c.) Outputs:

Reports, tables, charts or any other manipulation of the database data

Hard copy printouts created to meet ad hoc business needs (GRS 20 Item 16)

Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs

Disposition: TEMPORARY Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records (Printouts that contain substantive information should be disposed of in accordance with the NARA-approved schedule that covers the series in which they are filed)

d.) System Documentation:

OFAC IT System Profile FACDB Licensing Final DOX060019 8 0 0006 1-20081222 doc

Codebooks, records layout, user guide, and other related materials

Disposition: PERMANENT Cut off when superseded or after the system is terminated, whichever is later Transfer to NARA after 5 years

V. International Programs Case Information

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System (IPCIS)

Description:

IPCIS is a custom web-based interface form that encompasses many of the tools International Programs Division (IPD) officers utilize to produce their work product. Specifically, IPCIS provides access to public information sources and other Treasury applications. It also allows access to internal IPD data storage, indexing, and retrieval applications, as well as a case management system to handle IPD evidence as it pertains to these cases.

a.) Inputs:

The IPCIS application (also referred to as IPD evidentiary system) data tables reside in the OFACPRD database instance under the Oracle owner name IPDADMIN. The data that resides in IPCIS is populated either through mass data updates by IT staff (procured research data), or by DID analysts through the client side Evidentiary Case Templates (and MS Word document). Once the Evidentiary data is loaded to the IPDADMIN tables, the "uploading" of completed evidentiary documents to the IPCIS web interface triggers the push of the data in those tables to the SDN application tables through a web service. Once in the SDNADMIN repository, the data are ready to be final and processed to go up to the OFAC SDN public website.

Disposition: TEMPORARY. Cut off file upon termination of the sanction program to which the verification files correspond. Destroy on-site 10 years after cut off.

b.) System Data:

Like the rest of the OCTS components, IPCIS information is collected from external users. The content includes names, aliases, addresses, identification information, procured company/individual identifier information for searching.

Disposition: TEMPORARY. Cut off file upon termination of the sanction program to which the verification files correspond. Destroy on-site 10 years after cut off.

c.) Outputs:

A Completed Evidentiary Client template (MS Word document) creates a package record in the SDN.

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application

Hard copy printouts created to meet ad hoc business needs (GRS 20 Item 16)

Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs

Disposition: TEMPORARY Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records (Printouts that contain substantive information should be disposed of in accordance with the NARA-approved schedule that covers the series in which they are filed)

d.) System Documentation:

OFAC IT System Profile IPCIS Final
DOX060019 8 0 0006 2-20081211 doc

Codebooks, records layout, user guide, and other related materials

Disposition: Temporary Delete/destroy when superseded or 5 years after the system is terminated, whichever is sooner

VI. Specially Designated Nationals (SDN)

Description:

SDN is a custom web-based interface that provides OFAC personnel with a standardized method for the entry of source SDN data and automates the creation and publishing of the SDN list in various formats SDN data are comprised of individuals and companies owned or controlled by, or acting for or on behalf of, targeted countries It also contains individuals, groups, and entities, such as terrorists and narcotics traffickers designated under programs that are not country-specific All financial institutions and persons in the U S are required to block financial transactions that are linked to individuals, entities, and vessels that are identified in the SDN list or react appropriately to transactions that potentially violate one of the OFAC country-specific programs

a.) Inputs:

Data is either manually entered via the Web Interface

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or uploaded from the IPD evidentiary system. A small number of names are provided by outside sources like the State Department or foreign governments. Data is added ad hoc, e.g. there are no regularly scheduled data loads. Currently, four types of data are entered: Entities (Organization), Individuals, Shipping Vessels, and Aircraft.

Disposition: TEMPORARY. Cut off file when no longer needed for analytical or administrative purposes or when investigation is completed, whichever is applicable. Destroy on-site 10 years after cut off.

b.) System Data:

Names, aliases, addresses, and identification information. The identifying data columns for a transaction include things such as a FAC and FOIA number.

Disposition: TEMPORARY. Cut off file when no longer needed for analytical or administrative purposes or when investigation is completed, whichever is applicable. Destroy on-site 10 years after cut off.

c.) Outputs:

A number of different output formats are generated and manually pushed to the OFAC public Web site. Examples formats include ASCII, EXCEL, XML, and PDF. The system e-mails an XML file to the EPLS application at GSA. Other file formats are intended for human consumption.

Hard copy printouts created to meet ad hoc business needs (GRS 20 Item 16)

Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs.

Disposition: TEMPORARY. Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records. (Printouts that contain substantive information should be disposed of in accordance with the NARA-approved schedule that covers the series in which they are filed.)

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d.) System Documentation:

OFAC IT System Profile SDN Final
DOX060019 8 0 0006 1-20081211 doc

Codebooks, records layout, user guide, and other related materials

Disposition: Temporary Delete/destroy when superseded or 5 years after the system is terminated, whichever is sooner

VII. Service Provider Regulatory Program (SPRP)

Description:

SPRP is a custom web-based interface that helps OFAC administer a major economic sanction program imposed by the President under authority of the International Economic Powers Act and the Trading with the Enemy Act. Specifically, SPRP provides a secure data warehouse and data entry and analysis tool for OFAC personnel to track service providers sending funds to Cuba per the U.S. Department of Treasury's trade embargo regulations. SPRP allows Treasury to track and analyze companies' financial operations and to investigate and/or shut down those operating illegally.

a.) Inputs:

Data are input via the web interface and stored in the SPRP application data tables which reside in the FACDB (OFACPROD) Oracle database under the owner name SPRPADMIN.

Disposition: TEMPORARY Cut off annually
Destroy on-site 10 years after country becomes unblocked

b.) System Data:

Captures the required reports filed by Carrier Service Providers (CSP), Travel Service Providers (TSP), and Remittance Forwarders (RF) (doing business with Cuba).

Detailed data includes the number of passengers serviced, the amount of money transferred to Cuba or other TSPs, CSPs, and RFs, the purposes for the travel, the types of travel, and money transfers to banks.

Disposition: TEMPORARY Cut off annually
Destroy on-site 10 years after country becomes

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unblocked

c.) Outputs:

Reports, tables, charts or any other manipulation of the database data

Hard copy printouts created to meet ad hoc business needs (GRS 20 Item 16)

Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs

Disposition: TEMPORARY Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records (Printouts that contain substantive information should be disposed of in accordance with the NARA-approved schedule that covers the series in which they are filed)

d.) System Documentation:

OFAC IT System Profile SDN Final
DOX060019 8 0 0006 1-20081211 doc

Codebooks, records layout, user guide, and other related materials

Disposition: Temporary Delete/destroy when superseded or 5 years after the system is terminated, whichever is sooner

VIII. Employee Administration

Description:

Employee Administration is a customized web-based interface form that allows SSD administrative employees to add, update, delete, and run reports on OFAC staff-related information (e.g. office location, phone number, USERID, etc)

a.) Inputs:

The EA application data tables reside in the OFACPRD database instance under the Oracle owner name IPDADMIN The data that resides in EA is populated through SSD admin staff data entry

Disposition: TEMPORARY Delete/destroy 3 years

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(See Instructions on reverse)

after successfully entered and verified for accuracy

b.) System Data:

The EA application data tables reside in the OFACPRD database instance under the Oracle owner name IPDADMIN. The data that resides in EA is populated through SSD admin staff data entry. When a new employee comes aboard to OFAC, or an existing employee undergoes a change in some office infrastructure related way, SSD administrative employees log onto EA and add/update the employee's information.

Disposition: TEMPORARY Destroy when 5 years old or no longer needed for operational purposes whichever is later

c.) Outputs:

Office list by division and internal telephone list reports can be run to view only, or publish to the OFAC Portal, in HTML, PDF, or Word format

Text files can be downloaded for use in MS Visio application and the staff table

Disposition: TEMPORARY Destroy when 3 years old or no longer needed for operational purposes whichever is later

d.) System Documentation:

OFAC IT System Profile Employee Administration Final DOX060019 8 0 0006 2-20081107 doc

Codebooks, records layout, user guide, and other related materials

Disposition: TEMPORARY Delete/destroy when superseded or 5 years after the system is terminated, whichever is sooner

IX. Other Documentation

Booz Allen Hamilton, and MITRE Corporation have done in-depth analyses of the OCTS, additional information is available in the following

- OCTS_Risk_Assessment_Report_113006_with_comments_from_Russ doc
- OCTS_Accreditation_Decision_Letter doc
- OCTS_PIA_113006 doc

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OCTS_POA&M_113006 doc
OCTS_Requirements_Matrix_113006 doc
OCTS_Risk_Assessment_Report_113006 doc
OCTS_System_Security_Plan_113006 doc
MITRE Systems Profile Disc – Task Order
DOX060019 December 2008 Deliverables

Disposition: Temporary Delete/destroy when superseded or 5 years after the system is terminated, whichever is sooner

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PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV 3-91)
Prescribed by NARA
36 CFR 1228

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