

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>NI-559-05-1</i>	
1. FROM (Agency or establishment) <u>Department of the Treasury</u>		Date Received <i>Oct. 29, 2004</i>	
2. MAJOR SUB DIVISION <u>Financial Crimes Enforcement Network</u>		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER <u>Steve Rudzinski</u>	5. TELEPHONE <u>703-905-3845</u>	DATE <i>10/27/04</i>	ARCHIVIST OF THE UNITED STATES <i>Alan W. ...</i>
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 <u>9</u> page(s) are not needed now 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>10/27/2004</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Steve Rudzinski</i>		TITLE <u>Records Officer</u>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<u>See attached sheets</u> <u>Financial Crimes Enforcement Network</u> 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, 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 information from the BSA.	<i>cc Agency, NR, NWMD, NOME, NWMWA</i>	

**U.S. Department of the Treasury
Financial Crimes Enforcement Network (FinCEN)**

This schedule applies to all formats and media in which records are created and maintained at the FinCEN, including paper, microform, and electronic.

1.) Case Files

A. Intelligence reports and related attachments: Narrative reports prepared by FinCEN intelligence research specialists in response to investigative assistance requested by, or on behalf of, Federal, state, local, tribal and international law enforcement and regulatory agencies in support of their money laundering and other financial crimes investigations. The reports are a kind of "deliverable" to FinCEN's customers and they provide an analysis of FinCEN investigative research results. The reports and related attachments include descriptions and results of the law enforcement, financial and commercial databases searched, web pages searched, points of contact, link charts, and activity summaries of subjects in question. There are several types of reports including 314 Requests, Proactive reports, Grand Jury, and classified reports. Arranged by FinCEN Database number.

1. Official record set:

Disposition: Temporary. Cut off at end of fiscal year in which case or project is closed. Paper copies may be retired to the Federal Records Center 3 years after cutoff. Destroy 20 years after cutoff.

[Supercedes N1-56-00-1]

2. All other copies:

Disposition: Temporary. Destroy when no longer needed for convenience of reference.

B.) FinCEN Database:

The FinCEN Database is FinCEN's primary case management tool for searching the Intelligence Reports Case Files. It is the agency's electronic repository for the initial input (on the "O" drive) of requests for research (RFRs) and the data developed during the research and analysis of a case. Case information is maintained from case creation through closure and is available in the FinCEN Database (central to the system) for research and statistical purposes, and case status information.

1. Inputs: Information from intelligence case reports, requests for research (RFRs), and dissemination approvals.

Records are
non-record
reference

-Rania Mahmoud

11/21/2019

Superseded by: ~~GRS 5.2, Item 020 -~~

~~DAA-GRS-2017-0003-0002~~ Disposition: Temporary. Intelligence case reports retained in accordance with Item 1A in this schedule. Destroy/Delete other documents after input and verification of data into master file or when no longer needed for business purposes, whichever is later.

~~issued GRS Transmittal 1~~
28, July 2017

2. Master File: Contains case title, assignment and contact information, subject and ID information, status, case calendar, summary statistics, purpose, priority level, pertinent dates, requestor information, and comments. Cases tracked in the FinCEN Database are retrievable by a case identification number, requestor name, subject name or other ID information. The database stores both open and closed cases.

Disposition: Temporary. Delete with related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

[Supersedes N1-56-95-3, Item 6b]

Superseded by:

~~GRS 5.2, Item 020 -~~

~~DAA-GRS-2017-0003-0002~~

~~DATE (MM/DD/YYYY):~~

~~issued GRS Transmittal 28,~~

~~July 2017~~

Superseded by:

~~GRS 3.1, Item 051 -~~

~~DAA-GRS-2013-0005-0034~~

~~DATE (MM/DD/YYYY):~~

~~GRS Transmittal 27,~~

~~January 2017~~

3. Outputs: The FinCEN Database contains standard reports that allow users to create formatted reports to handle routine needs, such as summarizing information needed at the case level or providing productivity information. Other outputs include ad hoc reports, custom reports by request, and third party reports.

Disposition: Temporary. Destroy when no longer needed for business purposes.

4. Documentation: Users manual, data models, and file layouts.

Disposition: Temporary. Maintain for the life of the system. Destroy/Delete when superseded or obsolete.

2.) ASIS (Analytical System for Investigative Support) Master File: An Access database to organize and present findings for "major cases." Each case constitutes a separate database, and each database contains tables of case information including, subject, address, identification numbers, and activity information with associated forms, queries, reports, and analytical applications to support each one.

Disposition: Temporary. Delete after close of case or when no longer needed for reference, whichever is later.

3.) MLID (Money Laundering Intelligence Database) Master File: An Access database exclusively used at FinCEN to build relationships among money laundering cases. The MLID Database contains data from all available sources, but only that data where links can be made among money laundering cases.

Disposition: Temporary. Delete 20 years after last case in a "link" is closed.

4.) FinCEN Public Web Pages (www.fincen.gov):

The web site is primarily used to disseminate general information about FinCEN to the public via the Internet. It consists of a homepage that provides a number of linked pages containing information about the mission and activities of the agency including links to the USA Patriot Act, the Bank Secrecy Act, FinCEN regulatory guidance and rulings, strategic plans, reports, publications, news releases and announcements, organizational information, speeches and testimony by senior agency officials, frequently asked questions, and job listings.

The value of the web site primarily lies in offering users convenient, rapid facilitation for searching information. Recordkeeping copies of some records viewed on the web site are scheduled for permanent retention in hardcopy, authority Job No. N1-056-95-3 (Items 1a, 2, 3a-d, 4 and 5a). These records include FinCEN publications and public relations records, strategic plans, organizational files, and policy records.

A. Web content: FinCEN web content pages that contain duplicate information maintained in other agency recordkeeping systems or information that is otherwise routine and transitory in nature.

Disposition: Temporary. Delete when superseded or obsolete, or no longer needed for electronic dissemination, whichever is later. Documents may be removed from the website when they are no longer current and saved electronically on other storage media, not to exceed 10 years then delete.

B. Web site management records: Documents relating to the development, design, implementation, operations, and maintenance of the FinCEN public web site.

Disposition: Temporary. Maintain for the life of the web site. Destroy/Delete when superseded or obsolete.

4.) ~~FinCEN Public Web Pages (www.fincen.gov):~~

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The value of the web site primarily lies in offering users convenient, rapid facilitation for searching information. Only a portion of the textual records viewed on the web site is scheduled for permanent retention, authority Job No. N1-056-95-3 (Items 1a, 2, 3a-d, 4 and 5a). These records include FinCEN publications and public relations records, strategic plans, organizational files, and policy records. FinCEN will continue to transfer to NARA the permanent records in paper format until such time an electronic format, acceptable to NARA, is favored by the agency.

At NWME's request (see memo dated 12/14/04)

Item 4A1 has been withdrawn for consideration at a later date.

See preceding page for an updated Item 4.

TT
2/4/05

A. Web content:

1. Pages containing unique information NOT published in agency paper recordkeeping systems.

Disposition: PERMANENT. These records will be retired with FinCEN published materials, Job No. N1-056-95-3, Items 1a, 2, 3a-d, 4 and 5a.

2. All other web content pages: FinCEN web content pages that contain duplicate information maintained in other agency recordkeeping systems or information that is otherwise routine and transitory in nature.

Disposition: Temporary. Delete when superseded or obsolete, or no longer needed for electronic dissemination, whichever is later. Documents may be removed from the website when they are no longer current and saved electronically on other storage media, not to exceed 10 years then delete.

B. Web site management records: Documents relating to the development, design, implementation, operations, and maintenance of the FinCEN public web site.

Disposition: Temporary. Maintain for the life of the web site. Destroy/Delete when superseded or obsolete.

5.) FinCEN Intranet:

Access to the FinCEN internal web pages or Intranet is restricted to FinCEN personnel. The site contains some information that is duplicative of the agency public web site such

as links to publications, organizational information, regulations and rulings, and directives. Other information is unique to the internal web pages and only accessed by FinCEN staff. This includes links to *FinCEN Treasury Weeklies* and *FinCEN Office Weeklies*, information specific to FinCEN program offices, personnel listings and phone directory, the agency visitor log, human resources information, and emergency preparation publications.

A. Web content:

1. FinCEN Treasury Weeklies: Summaries of key departmental news, Presidential and Secretary initiatives, grants, and economic announcements. Submitted to the Secretary of Treasury.

Disposition: Temporary. Cut off annually. Destroy/Delete 3 years after cutoff.

2. FinCEN Office Weeklies: Summaries of agency program activities for distribution "in-house." Contain information relating to FinCEN support to other agencies, issues relating to the USA Patriot Act, highlights of major agency presentations, and documentation of dignitary visits.

Disposition: Temporary. Cut off annually. Destroy/Delete 3 years after cutoff.

3. All other web content:

Disposition: Temporary. Destroy/Delete when superseded or obsolete.

B. Web site management records: Documents relating to the development, design, implementation, operations, and maintenance of the FinCEN internal web site.

Disposition: Temporary. Maintain for the life of the web site. Destroy/Delete when superseded or obsolete.

6.) Gateway Secure Outreach Web:

FinCEN's Gateway Program enables Federal, state and local law enforcement agencies to directly access financial information systems containing records pursuant to the Bank Secrecy Act (BSA). Secure Outreach is a web-based technical avenue for getting users to Gateway. FinCEN transformed the secure web concept used for Egmont into a system designed strictly for the communication sharing and research use of domestic law enforcement agencies.

The Gateway Program is also one of the agency's most popular networking services. During the research and analysis process, Gateway electronically captures the information gathered on incoming inquiries and automatically compares this information to subsequent and prior queries from Gateway customers. If there are any matches, the

FinCEN Gateway staff view case-specific data associated with each match and, with appropriate authorization, alert each agency that has an interest in the same subject.

Other information on the web site includes general reference materials and on-line publications relevant to the user community.

A. Web content:

1. Data relating to the request and dissemination of Gateway research query information and case support (includes requests for access to BSA data, commercial database research files, Gateway alerts, and delivery of other FinCEN case-support products via Secure Outreach Web e-mail). Arranged by Gateway case number.

Disposition: Temporary. Destroy/Delete when 20 years old.

2. E-mail chat room communications among Secure Outreach account holders, and NOT among the communications covered by Item 7AT in this schedule.

LAI change made w/
conurrence of agency
RD. 2/4/05 e-mail
TT

Disposition: Temporary. Delete after 90 days.

3. Gateway training modules including information about participant registration, class rosters, and the where/when/what of training received.

Disposition: Temporary. Cut off at end of fiscal year in which training is conducted. Destroy/Delete 5 years after cutoff.

4. All other web content: This includes Gateway contact information for Gateway members, regional representatives and coordinators, downloadable forms, BSA reference material, money laundering reports, on-line publications relevant to the user community, documents relating to financial regulations and laws, information on the ASIS (Analytical System for Investigative Support) program, investigation success stories, and other related reference information.

Disposition: Temporary. Delete when superseded or obsolete.

B. Web reports: Ad hoc reports providing an audit trail of agency web site use and various performance measures.

Disposition: Temporary. Destroy/Delete when no longer needed for business purposes.

C. Web site management records: Documents relating to the development, design, implementation, operations, and maintenance of the Gateway Secure Outreach Web.

Disposition: Temporary. Maintain for the life of the web site. Destroy/Delete when superseded or obsolete.

7.) Gateway Inspections

FinCEN conducts periodic inspections of Gateway agency users. FinCEN generally conducts agency inspections every other year. Inspectors check for the proper handling of Gateway information, and for verification that users are following the protocols for opening a Gateway case and for inputting information. FinCEN Headquarters maintains hard copy files of completed inspection reports, including those inspections conducted by regional representatives, and considers the Headquarters files to be the recordkeeping copy. Headquarters also uses a database called the Gateway Inspection Database to electronically track the status of inspections.

A. Gateway Inspection Report: Information includes state and agency (name and address); where the inspection was performed; date of inspection; name of person conducting the inspection; summary of results and positive aspects of inspection; summary regarding discrepancies found and items provided to the agency representative (s) by the inspector; and other details of the inspections, including names, titles, and contact numbers of people interviewed and/or contacted during the inspection; a description of how Gateway requests are processed in the organization; and a description of all "Inspection Checklist" items. The inspection checklist may or may not be attached to the completed inspection report.

Disposition: Temporary. Cut off at the end of the inspection. Destroy/Delete 6 years after cutoff.

B. Gateway Inspection Master File: The Gateway Inspection Database is an Access database used to electronically track the status of Gateway inspections. All information is derived from the completed inspection reports. Data fields include agency name, scheduled date of inspection and actual date, contacts, inspector's name, and deficiencies and corrective action. Database is capable of performing various ad hoc queries relating to agency deficiencies noted during inspections, and inspection status (pending/done/cancelled).

Disposition: Temporary. Delete/Destroy 6 years after the end of the inspection.

8.) 314 (b) Database: Access database used to support mandates provided in Section 314 (b) of the USA Patriot Act of 2001 (Public Law 107-56). This section of the Patriot Act and implementing regulations of the Department of Treasury, FinCEN (31 CFR 103.110), provide for the sharing of information from one financial institution (or an association of financial institutions) to another (314b implementation) regarding individuals, entities, organizations, and countries for purposes of detecting, identifying, or reporting activities that the financial institution or association suspects may involve possible money laundering or terrorist activities. FinCEN uses this database to maintain

contact information for institutions participating in the sharing agreement, and to track the status of an institution's effective one-year "share period."

A. Inputs: Paper or electronic submissions from financial institutions requesting to engage in the sharing of information with other financial institutions. These submissions (registrations) constitute a kind of contract with FinCEN to abide by certain rules of engagement and include agency identification and contact information.

Disposition: Temporary. Destroy/Delete 1-year after effective share date.

B. Master File: Data includes agency identification information, contact information, submission receipt date, effective share date, acknowledgement date, and cancellation date.

1. Current Table: Agency registration data for the current 1-year share period.

Disposition: Temporary. Retain agency data for the 1-year share period. Delete after download to Historical Table.

2. Historical Table: Contains expired agency registration data older than 1-year.

Disposition: Temporary. Delete 3 years after registration cancellation date or when no longer needed for reference purposes, whichever is later.

C. Outputs: Acknowledgement Letter. This is a letter from FinCEN to a requesting institution acknowledging/approving the agency's request to share in information. It provides the institution with the effective share date and confirms all contact/POC information, with instructions on how to update this information. Another system output includes information provided to agencies instructing them on the protocols and procedures for requesting information from other agencies. Other routine reports may be created, as necessary.

Disposition: Temporary. Destroy/Delete when no longer needed for business purposes.

D. Documentation: File and table layouts.

Disposition: Temporary. Destroy when superseded or obsolete.

9.) Criminal Investigation Tracking System

These are records that were created and/or accumulated at FinCEN's Office of Regulatory Programs (ORP, formally Office of Financial Enforcement) as part of an old regulatory mandate that required the Internal Revenue Service (IRS) to obtain Treasury authority

prior to conducting a (financial) criminal investigation. This is no longer the case, and ORP collection and electronic tracking of this information ended in 1995.

A. Inputs: Criminal investigation files, IRS-submitted documents. Include letter from IRS to FinCEN requesting investigation authority, a case status report, a closing report summarizing the resolution of the case, and possibly other peripheral case-related materials that are duplicated in the case files at IRS.

Disposition: Temporary. Cut off annually. Destroy 10 years after cutoff.

[NOTE: Supercedes N1-056-01-7,
Item 1 for Criminal Investigation
Files ONLY.]

B. Database Master File: The Criminal Investigation Tracking System is a database that ORP formally used to electronically track or document the status of IRS (financial) criminal investigations. Information in the database duplicates the hard copy files that IRS submitted to FinCEN. Specific data field information includes bank name, branch, location, amount of fine paid, supervising agency, and status/resolution information.

Disposition: Temporary. Delete when related content records are destroyed.

10.) Working Papers: Background information, reference materials, notes, drafts, and similar records relating to intelligence research requests/cases and projects not maintained as part of an official file otherwise covered in this schedule.

Disposition: Temporary. Cut off at end of fiscal year in which case or project is closed. Destroy/Delete 3 years after cutoff.

11.) Presentation Materials: The official record set and duplicate copies of FinCEN presentations prepared for meetings with agency officials and potential users of FinCEN information and services. Records include briefing papers, charts, tables, overhead slides, Power Point presentations, and other dissemination "products."

A. Official record set: The original file copy of FinCEN presentation materials.

Disposition: Temporary. Cut off at end of fiscal year. Destroy/Delete 3 years after cutoff.

B. All other copies

Disposition: Temporary. Destroy/Delete when superceded or when no longer needed for reference purposes, whichever is later.

12.) Electronic Mail and Word Processing System Copies

Electronic Mail and Word Processing System Records. Records created and received on electronic mail and word processing systems, and used to generate a recordkeeping copy. Also includes electronic records maintained for updating, revision or dissemination.

A. Records that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories on hard disk or network drives and copies on shared network drives that are used only to produce the recordkeeping copy.

Disposition: Temporary. Destroy/delete after recordkeeping copy is generated and placed in a recordkeeping system.

B. Records used for dissemination, revision, or updating.

Disposition: Temporary. Destroy/delete when dissemination, revision, or updating is complete.

Superseded by job / item number: GRS 5.1 jiken 020

DAA-GRS-2016-0016-0002

Date (MM/DD/YYYY):

GRS Transmittal 28, July 2017