

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-056-95-003

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: **1/26/2021**

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

ITEM 7 FEEDBACK FORMS

ITEM 8 STRATEGIC STUDIES/REPORTS

ITEM 9 COUNTRY FILES

ITEM 10A, 10B, AND 10C RECORDS OF FINANCIAL ACTION TASK FORCE (FATF)

ITEM 11 MEMORANDA OF UNDERSTANDING (MOU)

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

ITEM 1, 2, 3, 4, AND 5 WERE SUPERSEDED BY N1-559-11-001

ITEM 6 WAS SUPERSEDED BY N1-559-05-001

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>11-56-95-3</i>	DATE RECEIVED <i>7-13-95</i>
1. FROM (Agency or establishment) Department of the Treasury		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Assistant Secretary (Enforcement)		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3. MINOR SUBDIVISION Financial Crimes Enforcement Network			
4. NAME OF PERSON WITH WHOM TO CONFER Hedda Verinder Steve Milline	5. TELEPHONE (703) 905-3736 (202) 622-0790	DATE <i>1-8-98</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</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>17</u> 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, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 2-09-95	SIGNATURE OF AGENCY REPRESENTATIVE <i>Steve A. Milline</i>	TITLE Chief, Records Management and Resources Branch	

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p style="text-align: center;">Office of the Assistant Secretary (Enforcement)</p> <p style="text-align: center;">Office of the Deputy Assistant Secretary (Regulatory, Tariff and Trade Enforcement)</p> <p style="text-align: center;">Financial Crimes Enforcement Network</p> <p>The Financial Crimes Enforcement Network (FinCEN) has been assigned the central role for Treasury counter-money laundering policies. It exercises Treasury's far-reaching responsibilities under the Bank Secrecy Act, 31 U.S.C. section 5311, <u>et seq.</u>, and serves as the United States Government's central source for the systematic collation and analysis of information to assist in the investigation of money laundering and other financial crimes. FinCEN implements these responsibilities through analytical and technological platforms geared to combat money laundering through prevention--using Treasury's regulatory authority in partnership with the financial sector; detection--combining technology with all-source intelligence to identify both underlying criminal financial activity as well as emerging trends and patterns of domestic and international money laundering; and enforcement--empowering other agencies at the federal, state and local, and international levels to take action against financial criminals through the transfer of information and expertise.</p>		

JAN 22 1998
MHR

*Copy to: Agency + Steve Rodzinski
NWDD, NWRG, NWRW*

Attachment to SF-115
Job No N1-56-95-3

Financial Crimes Enforcement Network

1. **Intelligence Publications.** Documents on studies/projects initiated on trends and issues relating to money laundering and other financial crimes The publications are entitled, "Trends, Updates, FinCEN Series, and the Gazetteer " Updates and some of the publications under the FinCEN Series are designated "For Official Use Only " Arranged by Publication series, thereunder chronologically Dates 1990 - Present Approximate annual rate of accumulation 3 inches (Office of Communications)

- a. **Record Set of Publications.** (Single record copy of each publication)

Disposition **Permanent.** Cut off file at end of fiscal year in which publication is finalized Retire to the Federal records center 5 years after cutoff Transfer to the National Archives 10 years after cutoff

- b. **Publications Developmental Files.** Contains drafts, notes, calculations used to prepare the publications

Disposition **Temporary.** Cut off file at end of fiscal year in which the publication is finalized Destroy one year after cutoff or when no longer needed, whichever is sooner

2. **Strategic Plan.** A five-year document that describes FinCEN's objectives, strategies, and performance measures for accomplishing its mission Contains documents on progress, major problems, and accomplishments on meeting the objectives identified in the Strategic Plan Arranged chronologically Dates 1995 - Present Approximate annual accumulation rate 2 inches (Office of the Director)

Disposition **Permanent.** Cut off file at the end of the fiscal year in which the Strategic Plan ends or is superseded Transfer to the National Archives 3 years after cutoff

3. **Public Relations.**

- a. **Speeches.** Consists of the record copy of FinCEN and FinCEN mission related speeches by the Director or the Assistant Director and Congressional testimony Arranged chronologically Dates 1990 - Present Approximate annual rate of accumulation 1 cubic inch (Office of Communications)

Disposition **Permanent.** Cut off at end of fiscal year in which the speech was given Transfer to the National Archives 5 years after cutoff

- b. Congressional Briefing Books.** Consists of prepared statements before Congress by the FinCEN Director or Assistant Arranged chronologically Dates 1990 - Present Approximate annual rate of accumulation 2 cubic inches

Disposition **Permanent.** Cut off at end of fiscal year Transfer to the National Archives 5 years after cutoff

- c. Press Releases.** Consists of Press Releases issued by FinCEN (not Treasury) Arranged chronologically Dates 1990 - Present Approximate annual rate of accumulation 1 cubic inch (Office of Communications)

Disposition **Permanent.** Cut off at end of fiscal year Transfer to the National Archives 2 years after cutoff

- d. Biography File.** Most up-to-date biographical information file for the FinCEN Director and may contain a photograph (Office of Communications)

Disposition **Permanent.** Cut off file at end of Director's term in office Immediately transfer to the National Archives after cutoff

- e. Newspaper/Magazine Clippings.** Contains articles from newspapers or magazines related to FinCEN or its mission (Office of Communications)

Disposition **Temporary.** Destroy when no longer needed for reference

- 4. Organizational Files.** Consists of organizational charts, functional statements, and reorganization authorities Arranged chronologically Dates 1990 - Present Approximate annual accumulation rate 1 inch (Office of Management)

Disposition **Permanent.** Cut off file at end of fiscal year in which superseding reorganization occurs Retire to Federal records center 5 years after cutoff Transfer to the National Archives 15 years after cutoff

5. Policy Records.

- a. FinCEN Issuance System.** Textual directives and handbooks containing FinCEN policy and procedures--not to include Treasury policy issuances Arranged by issuance Dates 1990 - Present Approximate annual accumulation rate 1 inch (Office of Management)

Disposition **Permanent.** Cut off at end of fiscal year in which policy is superseded Retire to the Federal records center 10 years after cutoff Transfer to the National Archives 20 years after cutoff

- b. Reference Copy Policy Issuances.** Textual directives and handbooks containing policy and procedures issued by Treasury or nonrecord copies of FinCEN policies (Office of Management)

Disposition **Temporary.** Destroy when superseded or obsolete

6. Intelligence Reports (Narcotics/Non-narcotics).

- a. Case Files.** Case files developed in response to requests from international, Federal, state and local law enforcement and regulatory agencies in support of their investigative efforts involving money laundering and other financial crimes Arranged by FinCEN Data Base Number consisting of the fiscal year followed by serial numbers Contains private information (Office of Tactical Operations)

Disposition **Temporary.** Cut off at end of fiscal year in which case is closed Retire to Federal records center 3 years after cutoff Destroy 10 years after cutoff

- b. Index.** An electronic database used to search the Intelligence Reports Case Files by name of suspect (Office of Tactical Operations)

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

- 7. Feedback Forms.** Evaluation forms used to obtain information from participating agencies concerning the support FinCEN provides in support of their investigative efforts (Operational Offices)

Disposition **Temporary.** Cut off at end of fiscal year in which case is concluded Destroy 1 year after cutoff or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is later

- 8. Strategic Studies/Reports.** Studies developed on the methods, trends and issues involved in narcotic and non-narcotic money laundering and other financial crimes Arranged alphabetically by subject, thereunder by fiscal year in which the study was completed May include classified/sensitive investigative information Dates 1990 - Present Approximate annual accumulation rate 2 cubic feet (Office of Strategic and International Programs)

Disposition **Permanent.** Cut off at end of fiscal year in which report is finalized
Retire to the Federal records center 3 years after cutoff Transfer to the
National Archives 10 years after cutoff

9. **Country Files.** Consists of introductory documents describing the money laundering environment of a specific country It includes an overview of the critical factors that affect the ability of money launderers to engage in criminal financial activity, and summarizes the extent to which a regulatory and/or law enforcement framework has been established to counter such activity Contains mainly unclassified materials from foreign government reports, internal memos or reports, journals or other public sources Also contains classified Department of State cables and other topical Embassy materials that are maintained separately from the unclassified records Arranged alphabetically by name of country Dates 1990 - Present Approximate annual accumulation rate 3 cubic feet (Office of Strategic and International Programs)

Disposition **Permanent.** Cut off file at end of fiscal year Retire to the Federal records center 3 years after cutoff Transfer to the National Archives 10 years after cutoff

10. **Records of Financial Action Task Force (FATF).** A 26-nation organization, headquartered in France, created by the G-7 to address the global problem of money laundering of which FinCEN is a member
- a. **Record Copy Conference/Workshop Materials.** Contains final copy conference materials such as agenda, biographies of speakers, and other handouts included in the conference materials created or assembled by FinCEN when hosting the FATF's conference
- Disposition **Permanent.** Cut off file at end of fiscal year in which conference was finalized Transfer to the National Archives 3 years after cutoff
- b. **Conference Development Working Papers.** Contains, notes, drafts, budgetary information, cost estimates, and other conference organizing materials
- Disposition **Temporary.** Destroy when no longer needed for administrative, legal, audit or other operational purposes
- c. **FATF issued Materials.** May include reports, evaluations, news letters, press releases and other materials distributed to its members, including FinCEN
- Disposition **Nonrecord** Destroy when no longer needed for reference

11. **Memoranda of Understanding (MOU).** Legal documents on agreements between FinCEN and other organizations and other foreign entities regarding FinCEN's use of their information and service FinCEN will provide to these organizations Arranged alphabetically by name of organization Dates 1990 - Present Approximate annual accumulation rate 2 cubic feet (Office of the Director)

Disposition **Permanent.** Cut off at end of fiscal year in which the MOU is terminated
Retire to Federal records center 3 years after cutoff Transfer to the
National Archives 10 years after cutoff