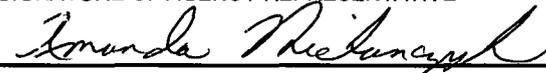


REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-SS 9-11-1</i>	
To. NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>6/29/11</i>	
1 FROM (Agency or establishment) Department of the Treasury		NOTIFICATION TO AGENCY In accordance with 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
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	DATE <i>20 July 12</i>	ARCHIVIST OF THE UNITED STATES 
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, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE 6/23/2011	SIGNATURE OF AGENCY REPRESENTATIVE 		TITLE Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	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		

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

**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 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.** *Retain for the life of the bureau. Transfer to NARA upon dissolution of the bureau. Cut off at end of fiscal year in which file is created. Transfer to NARA twenty years after cutoff.* -R.O. 3127112
- 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)

- c. Policy Records. Directives, ^{*}delegation orders, and handbooks containing FinCEN policy and procedure. Arranged by issuance from 1990-present.

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)

** Includes record copy of each FinCEN form for use by financial institutions
- RO, 4/10/12*

- d. Reference Copies. Reference copies of all records described in 1 and 2a-c above.

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

- a. News Releases, Advisories, Fact Sheets, news articles featuring FinCEN, talking points, biographies, photos, briefing books, audio/visual media.

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)

- c. 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 N1-56-95-3, Item 1b.)

- d. News Clips of general interest to FinCEN

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

(Supersedes N1-56-95-3, 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 N1-56-95-3, 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 cut off. (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.

Disposition: **TEMPORARY**. Delete/Destroy immediately or when no longer needed for reference GRS 23, item 7

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.