



governmentattic.org

"Rummaging in the government's attic"

Description of document: **Correspondence between the National Archives and Records Administration (NARA) and the Department of the Treasury Office of Foreign Assets Control (OFAC), 2001 – 2008**

Requested date: 22-March-2007

Released date: 04-May-2009

Posted date: 12-October-2009

Source of document: Special Access and FOIA Staff
National Archives and Records Administration
NWCTF-Room 6350
8601 Adelphi Road
College Park, MD 20740
Telephone: (301) 837-3190
Fax: (301) 837-186

The governmentattic.org web site ("the site") is noncommercial and free to the public. The site and materials made available on the site, such as this file, are for reference only. The governmentattic.org web site and its principals have made every effort to make this information as complete and as accurate as possible, however, there may be mistakes and omissions, both typographical and in content. The governmentattic.org web site and its principals shall have neither liability nor responsibility to any person or entity with respect to any loss or damage caused, or alleged to have been caused, directly or indirectly, by the information provided on the governmentattic.org web site or in this file. The public records published on the site were obtained from government agencies using proper legal channels. Each document is identified as to the source. Any concerns about the contents of the site should be directed to the agency originating the document in question. GovernmentAttic.org is not responsible for the contents of documents published on the website.



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

May 4, 2009

Re: Freedom of Information Act Request NGC07-104

This is in response to your Freedom of Information Act (FOIA) request of March 22, 2007, for correspondence between the Office of Foreign Assets Control (OFAC) and the National Archives and Records Administration (NARA) from January 1, 2001 to the present. Your request was received in this office on April 9, 2007, and assigned tracking number NGC07-104. On April 6, 2007, you narrowed your request to include only records from the Office of Record Services. I apologize for the delay in our response.

We located a total of 14 pages responsive to your request. Twelve pages are being released in part and being withheld in part, pursuant to 5 U.S.C. 552(b)(6), the personal privacy privilege and are enclosed with redactions. The remaining two pages are being released in full and are enclosed.

If you are not satisfied with our action on this request, you have the right to file an administrative appeal. Address your appeal to the Deputy Archivist (ND), National Archives and Records Administration, College Park, Maryland 20740. Your appeal should be received within 35 calendar days of the date of this letter and it should explain why you think this response does not meet the requirements of the FOIA. Both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal." All correspondence should reference the tracking number NGC07-104.

Please let us know if we may be of further assistance.

Sincerely,

JAY OLIN
Deputy FOIA Officer
Office of General Counsel

Enclosures

Sharmila Bhatia - RE: NN3-265-05-001

*Office of Foreign
Assets Control*

From: [REDACTED] (b) (6)
To: <Sharmila.Bhatia@nara.gov>
Date: 1/17/2006 11:07 AM
Subject: RE: NN3-265-05-001

Good Morning, Sharmila

I hope this info will help and close this case. This information was directed to me by our FOIA Officer. The site you may use is: 31 USC 5319; "Availability of Reports" -- Bank Secrecy Act.

If you need additional information, please let me know.

Wanda

-----Original Message-----

From: Sharmila Bhatia [mailto:Sharmila.Bhatia@nara.gov]
Sent: Tuesday, January 10, 2006 11:06 AM
To: [REDACTED] (b) (6)
Cc: [REDACTED] (b) (6)
Subject: NN3-265-05-001

Wanda,

I last emailed you on November 7, 2005 concerning the Exemption 3 for the field ACCOUNT_NUM within the Blocked Assets Tables and as of yet to receive a response. Exemption 3 allows the withholding of information prohibited from disclosure by another statute. Therefore, I need the specific statute that OFAC is using to restrict this particular field. Note, that 5 USC 552(b)(3) is not a valid citation.

This is the only item I need to close this accession. As I mentioned earlier, NARA will restrict (b)(2) data for 30 years as requested by OFAC.

Thank you for your assistance,

Sharmila Bhatia
Archives Specialist
National Archives & Records Administration
NWME Room 5320
8601 Adepti Road
College Park, MD 20740

Telephone: (301) 837-1519
FAX: (301) 837-3681
E-mail: sharmila.bhatia@nara.gov

**AGREEMENT TO TRANSFER RECORDS TO
THE NATIONAL ARCHIVES OF THE UNITED STATES**

ARC

1. INTERIM CONTROL NO. (NARA Use Only)

TERMS OF AGREEMENT

The records described below and on the attached ___ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256, and such other rules and regulations as may be prescribed by the Archivist of the United States (The Archivist). Unless specified and justified below, no restrictions of the use of these records will be imposed other than the general and specific

restrictions on the use of these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the *Guide to the National Archives of the United States*. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, nonarchival printed or processed material, or other non-record material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of nonarchival materials contained in this deposit.

Done 1/15/05

2A. AGENCY APPROVAL

Signature _____ Date _____

Veronica Marco *1/10/05*

3A. NARA APPROVAL

Signature _____ Date _____

for me
Veronica Marco *2/6/06*

2B. NAME, TITLE, MAILING ADDRESS

Department of the Treasury
Records Management Branch
1500 Pennsylvania Ave., NW Annex - 6th floor
Washington, DC 20220

3B. NAME, TITLE, MAILING ADDRESS

National Archives and Records Administration (NW)
8601 Adelphi Road, Room 3400
College Park, MD 20740-6001

RECORDS INFORMATION

4A. RECORDS SERIES TITLE - Blocked Assets Tables and Blocked Assets Archives Tables

4B. DATE SPAN OF SERIES 1983-1994

(Attach any additional description) (Attachment includes 4 pages)

5A. AGENCY OR ESTABLISHMENT

Department of the Treasury

5B. AGENCY MAJOR SUBDIVISION

Office of Terrorism and Financial Intelligence

5C. AGENCY MINOR SUBDIVISION

Office of Foreign Assets Control

5D. UNIT THAT CREATED RECORDS

Blocked Assets Division

5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS

Name: Veronica Marco

Telephone Number: [redacted] (b)(6)

6. DISPOSITION AUTHORITY: N1-056-02-4, Item 18 (b)(1)

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? ___ NO ___ YES

LEVEL: ___ Confidential ___ Secret ___ Top Secret
SPECIAL MARKINGS: ___ RD/FRD ___ SCI ___ NATO
___ Other
INFORMATION STATUS: ___ Segregated ___ Declassified

8. CURRENT LOCATION OF RECORDS

Agency (Complete 8A only)
 Federal Records Center (Complete 8B only)

8A. ADDRESS:

Department of the Treasury
Records Management Services Branch
1500 Pennsylvania Avenue, NW - Annex Room 6904
Washington, DC 20220

9. PHYSICAL FORMS

___ Paper Documents ___ Posters
___ Paper Publications ___ Maps and Charts
___ Microfilm/Microfiche ___ Arch/Eng Drawings
___ Electronic Records ___ Motion/Sound/Video
___ Photographs Other (specify): floppy disks

10. VOLUME:

Cu. Mtr.: Cu.Ft.:

CONTAINERS:

Number: Type:

11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

___ YES NO Exemption (b)(2)(3) (4)
(If no, attach limits on use and justification)

13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

YES ___ NO *(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)*

DO 111-Office of Foreign Assets Control Census Records
February 19, 2002, 67 FR 7483 and amended on October 4, 2002, 67 FR 62290

14. ATTACHMENTS

___ Agency Manual Except ___ Listing of Records Transferred
___ Additional Description ___ NA Form 14097 or Equivalent
___ Privacy Act Notice ___ Microform Inspection Report
 Other (specify): ___ SF(s) 135
___ Description of database information_

8B. FRC ACCESSION NUMBER

CONTAINER NUMBERS

FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION

RG *265-56*

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES

Signature _____ Date _____

Sherrill Hunt *1 January 2006*

17. NATIONAL ARCHIVES ACCESSION NO.

NN3-265-05-0017

Sharmila Bhatia - RE: Blocked Assets NN3-056-05-007

From: [REDACTED] (b)(4)
To: <Sharmila.Bhatia@nara.gov>
Date: 9/19/2005 1:33 PM
Subject: RE: Blocked Assets NN3-056-05-007

Good afternoon Sharmila,

I apologize for the late reply. Your e-mail got lost in the shuffle, including the fact that I was out of the office for a week this month. I am forwarding your e-mail directly to the responsible office for an answer to your question and will get back with you shortly.

Very Respectfully,

Veronica T. Marco
Department of the Treasury
Director, Information Services Division
Phone: [REDACTED]
Fax: [REDACTED] (b)(6)

-----Original Message-----

From: Sharmila Bhatia [mailto:Sharmila.Bhatia@nara.gov]
Sent: Friday, September 02, 2005 2:50 PM
To: [REDACTED] (b)(6)
Subject: Blocked Assets NN3-056-05-007

Hi Veronica,

I'm in the process of closing the accession of the Blocked Assets Tables and Blocked Assets Archives Tables transferred to NARA in January.

We've noticed that the previous accession was listed under RG 265 and have since determined that the assignment of RG 56 was incorrect. Many years ago the Office of Blocked Assets Division was given its own record group, separate from the rest of Treasury.

More importantly, my supervisor has raised questions about the restrictions. The SF258 lists Exemptions b(2), b(3), and b(4). We normally restrict b(4) for 10 years, and b(3) for 30 years. Is this acceptable to the agency? The previous accession, NN3-265-98-001, lists b(6). Should this current accession be restricted under b(6) as well? Any documentation you have on the restrictions will be helpful.

Thank you for your assistance,

Sharmila Bhatia
Archives Specialist
National Archives & Records Administration
NWME Room 5320
8601 Adephe Road
College Park, MD 20740

Telephone: (301) 837-1519
FAX: (301) 837-3681
E-mail: sharmila.bhatia@nara.gov



National Archives & Records Administration

facsimile

TRANSMITTAL

to: Wanda Davis
fax #: [REDACTED] (b)(6)
re: Blocked Assets Accession NN3-265-098-001
date: 10/06/2005
pages: [4 Pages (including cover sheet)].

Attached is the SF 258 for the earlier accession. Note that the restrictions are not specified. There are some other inaccuracies on this form such as indicating that the records are security classified. My predecessor may have clarified this information; however, I have no record as such.

From the desk of...

Sharmila Bhatia
Archives Specialist
NWME
8601 Adelphi Road
College Park, MD 20740
Telephone: 301-837-1519
Fax: 301-837-3681
Email: sharmila.bhatia@nara.gov

Sharmila Bhatia - RE: Blocked Assets Tables

From: [REDACTED] (b) (6)
To: <Sharmila.Bhatia@nara.gov>
Date: 2/22/2005 2:27 PM
Subject: RE: Blocked Assets Tables
CC: [REDACTED] (b) (6)

Good afternoon Sharmila,

I hope this helps, I apologize for any confusion. The sanitized files and unsanitized files should be associated as follows:

BLOCKED_ASSETS_ARCH.xls (unsanitized)
BLOCKED_ASSETS_ARCHIVE11.xls (sanitized)

And

BLOCKED_ASSETS_DATA2.xls (unsanitized)
BLOCKED_ASSETS_11.xls (sanitized)

Very Respectfully,

Veronica T. Marco
Department of the Treasury
Director, Information Services Division
Phone: [REDACTED] (b) (6)
Fax: [REDACTED] (b) (6)

-----Original Message-----

From: Sharmila Bhatia [mailto:Sharmila.Bhatia@nara.gov]
Sent: Tuesday, February 22, 2005 10:55 AM
To: [REDACTED] (b) (6)
Subject: RE: Blocked Assets Tables

Veronica,

Thanks so much for the description. I now have another question.

I've received 5 files on 4 diskettes although the NA 14097 indicates 1 file on 3 media units. One file, BLOCKED_ASSETS_COLUMNS.xls is a documentation file and we will not preservation copy it.

The data files are:
BLOCKED_ASSETS_ARCHIVE11.xls (sanitized) BLOCKED_ASSETS_DATA2.xls (unsanitized) BLOCKED_ASSETS_ARCH.xls (unsanitized) BLOCKED_ASSETS_11.xls (sanitized)

Which files go with which? For instance, is BLOCKED_ASSETS_ARCHIVE11 the sanitized version of BLOCKED_ASSETS_DATA2.xls?

Thanks again,
Sharmila



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

February 22, 2005

Ms. Veronica Marco
Department of the Treasury
Record Management Branch
1500 Pennsylvania Ave., NW Annex – 6th Floor
Washington, DC 20220

Dear Ms. Marco:

The Electronic and Special Media Records Services (NWME) of the National Archives has received Blocked Assets Tables and Blocked Assets Archives Tables, 1983-1994 for the Department of Treasury, consisting of the SF 258, Agreement to Transfer Records to the National Archives of the United States, signed by the Department of Treasury; 4 diskettes and related documentation. We have assigned accession number NN3-056-05-007 to this transfer.

Before we sign the SF 258 and return a copy to you, we must complete processing the file, which includes validating the records and documentation and completing preservation work. If these procedures identify problems with the tapes or the documentation for this accession, we will contact you for assistance in resolving the difficulties.

I have been assigned responsibility for processing the file. Please contact me at 301-837-1519 or at my email address Sharmila.Bhatia@nara.gov if you have any questions about the accession.

Sincerely,

Sharmila Bhatia
Archives Specialist
Electronic and Special Media Records Services (NWME)

From: William Fischer
To: [REDACTED] (b)(6)
Date: 8/5/04 11:28AM
Subject: Re: Transfer of Blocked Assets Information - Update

Thanks for the update.

Bill

WILLIAM P. FISCHER
Archives Specialist
NWME, Rm. 5320
National Archives and Records Administration
8501 Adelphi Road
College Park, MD 20740-6001
william.fischer@nara.gov
(301) 837-1907 (telephone)
(301) 837-3681 (fax)

>>> [REDACTED] (b)(6) 08/03/04 02:42PM >>>
Mr. Fischer,

I wanted to let you know that OFAC is preparing the data for transfer; however, we will not be able to send the information until several outstanding Freedom of Information Act Requests have been processed. When these FOIAs have been completed, I will notify you of when the data will be transferred.

Rosalyn Settles

From: William Fischer
To: [REDACTED] (b) (6)
Date: 6/17/04 2:16PM
Subject: Re: FW: Blocked Assets

Dear Ms. Settles:

RE: N1-56-02-4, Item 18b1

It was very nice talking with you this afternoon on the telephone. As we discussed, I am sending you four documents that should provide you some guidance on how to transfer electronic records into the National Archives. As the documents spell out, there are four basic components to a transfer. They are: 1) data; 2) technical documentation; 3) SF 258; and 4) NA 14097.

We can begin working out the details after you have reviewed the attached documents. I look forward to working with you on this transfer.

Sincerely,
Bill Fischer

WILLIAM P. FISCHER
Archives Specialist
NWME, Rm. 5320
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-6001
william.fischer@nara.gov
(301) 837-1907 (telephone)
(301) 837-3681 (fax) (b) (6)

>>> [REDACTED] 06/16/04 02:47PM >>>
Good Afternoon, Mr. Fischer,

The Office of Foreign Assets Control (OFAC), which is part of the Department of the Treasury, is scheduled to transfer data to NARA under its schedule, N1-56-02-4, item 18b1. Can you please advise me about the procedures to follow to send this information to NARA? This is the first time data is being transferred and we are familiar with procedures.

If you would like to reach me by telephone, I may be contacted on

[REDACTED] (b) (6)

Thank you

Rosalyn Settles
OFAC Records Management Officer

-----Original Message-----

From: Tracee Taylor [mailto:Tracee.Taylor@nara.gov]
Sent: Wednesday, June 16, 2004 11:15 AM
To: [REDACTED] (b) (6)
Subject: Blocked Assets

Good Morning, Rosalyn

Got a note from our electronic records unit (NWME) inquiring about the transfer of electronic blocked asset data as scheduled in N1-56-02-4, Item 18b1. The office is making a concerted effort to fill-in the gaps of records that should be coming to them and would like to make progress on this series of records. This item supercedes NC1-265-80-1, Item 5b2 and to the best of my knowledge there has never been any such records transferred to NARA.

What would it take on your end to get this moving? Something for me to do? Should I put you in touch with the NARA/NWME point person?

Please advise as to how you would like to proceed.

Thanks Much,
Tracee

CC: Taylor, Tracee

William Fischer - FW: Blocked Assets

From: [REDACTED] (b) (6)
To: <william.fischer@nara.gov>
Date: 6/16/2004 2:45 PM
Subject: FW: Blocked Assets
CC: <Taylor@nara.gov>

Good afternoon, Mr. Fischer,

The Office of Foreign Assets Control (OFAC), which is part of the Department of the Treasury, is scheduled to transfer data to NARA under its schedule, N1-5602-4, item 18b1. Can you please advise me about the procedures to follow to send this information to NARA? This is the first time data is being transferred and we are familiar with procedures.

If you would like to reach me by telephone, I may be contacted on

[REDACTED] (b) (6)

Thank you

Rosalyn Settles
OFAC Records Management Officer

-----Original Message-----

From: Tracee Taylor [mailto:Tracee.Taylor@nara.gov]
Sent: Wednesday, June 16, 2004 11:15 AM
To: [REDACTED] (b) (6)
Subject: Blocked Assets

Good Morning, Rosalyn

Got a note from our electronic records unit (NWME) inquiring about the transfer of electronic blocked asset data as scheduled in N1-56-02-4, Item 18b1. The office is making a concerted effort to fill-in the gaps of records that should be coming to them and would like to make progress on this series of records. This item supercedes NC1-265-80-1, Item 5b2 and to the best of my knowledge there has never been any such records transferred to NARA.

What would it take on your end to get this moving? Something for me to do? Should I put you in touch with the NARA/NWME point person?

Please advise as to how you would like to proceed.

Thanks Much,
Tracee

From: Thomas Southerly
 To: [REDACTED] (b) (6)
 Date: Tue, Apr 3, 2001 9:03 AM
 Subject: Questions on Data Base

Dan,

Sorry to bother you with more questions, but I need to explain some of the fields in the data base and I have a question concerning the restricted version.

Could you let me know what the following data elements mean or what values can be expected for them in the data base:

1. 'program'
2. 'monitoring'
3. 'value date'

Can you tell me what has been omitted from the sanitized version of the data base?

Thank you in advance for your help.
Tom

14,329 - complete version - 247^m
2,659 - public use version
B 248 - file 1
file 2

5-31-01
Called and left message for Dan -
What is status of transfer of additional
records from database -

From: [redacted] (b)(6)
To: <thomas.southerly@nara.gov>
Date: Wed, Mar 14, 2001 4:31 PM
Subject: RE: new email address

Tom,

I'm afraid I can't find your phone number, so please excuse the e-mail.

This is in regard to your phone call the other day concerning the release of information after 10 years. In looking at what we provided to you in 1997, Loren Dohm and I recall that we agreed to provide two sets of data, one "sanitized" and one "complete". The "sanitized" data would be available for release after 10 years, but the "complete" data would continue to be withheld. Are we correct in our recollection? If so, do you still need additional language for withholding the data? Please give me a call at your earliest convenience.

Thanks,
Dan

-----Original Message-----

From: Thomas Southerly [mailto:thomas.southerly@nara.gov]
Sent: Monday, February 12, 2001 1:01 PM
To: [redacted] (b)(6)
Subject: new email address

FYI

They changed our email location, they took the "arch2" out of our address.

New email address:

thomas.southerly@nara.gov

FOIA
b4
historical information

Department of the Treasury
Office of Foreign Assets Control

FACSIMILE TRANSMITTAL COVER SHEET

NUMBER OF PAGES INCLUDING COVER SHEET: 3

DATE: March 18, 1997

PLEASE DELIVER THE FOLLOWING PAGES:

TO: Tom Southerly
National Archives

Fax number: 301/713-6911
Phone number: 301/713-6630

FROM: Daniel Yorks
Office of Foreign Assets Control
Department of the Treasury

IF THIS TRANSMISSION IS NOT COMPLETE: Please call Pat Hausafus at
[REDACTED] Our facsimile number is [REDACTED]

(b)(6)

(b)(6)

COMMENTS:

Tom,

We are currently using Microrim's R:Base 4.5++. The following is the structure of the table Blk_Assets. This is the table from which we unloaded the data on the diskette provided to you.

Dan



DEPARTMENT OF THE TREASURY
WASHINGTON, D.C. 20220

FAC No. 155414

MAR 06 1997

Mr. Thomas Southerly
National Archives and Records
Administration at College Park
Center for Electronic Records, NWREA
8601 Adelphi Road
College Park, MD 20740-6001

Dear Mr. Southerly:

Enclosed herein is a diskette containing data from the Office of Foreign Assets Control's database of blocked assets. As we discussed with you, this is a "sanitized" version of the data which will allow the Archives to do a test reading of the file. Data for fields with information concerning account parties and account holders have been replaced by common data element names. We understand that this data will be provided to the Archives in the final version if the test proves successful. In the event that the test is not successful, we will work with the Archives to provide the data in an acceptable format.

If you have any questions, please feel free to contact either Daniel Yorks or myself at [REDACTED] (b)(6)

Sincerely,

Loren L. Dohm
Loren L. Dohm
Chief, Blocked Assets Division
Office of Foreign Assets Control

Enclosure