

REQUEST FOR RECORDS DISPOSITION AUTHORITY
 (See Instructions on reverse)

NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
 WASHINGTON, DC 20408

1. FROM (Agency or establishment)
BUREAU OF THE PUBLIC DEBT

2. MAJOR SUBDIVISION
Government Agency Investment Services

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFERENCE
Robert Konz
 (304) 480-8186
 Robert.konz@bpd.treas.gov

LEAVE BLANK (NARA use only)

JOB NUMBER
N1-53-06-08

DATE RECEIVED
7/25/06

NOTIFICATION TO AGENCY

In accordance with 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE ARCHIVIST OF THE UNITED STATES
8/29/07 *[Signature]*

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 8 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,

is not required; is attached; or has been requested.

DATE: **7/11/06**

SIGNATURE OF AGENCY REPRESENTATIVE: *Vicki L. Thorpe*
Vicki Thorpe

TITLE: **Records Officer**
Reviewed by Office of the Chief Counsel

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See the Attached Sheets		

SA 8/29/07 copies sent to Agency, NWMD, NWMWA, NR

115-109 NSN 7540-00-634-4064 STANDARD FORM 115 (REV.3-91)
 NARA PREVIOUS EDITION NOT USABLE Prescribed by 36 CFR 1228

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For the Bureau of the Public Debt

July 7, 2006

7. ITEM NO. N1-53-06-E	8. DESCRIPTION OF ITEM and PROPOSED DISPOSITION Category No Title and description Proposed Disposition		9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
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	2000	Government Agency Investment Services		
	2100	Federal Investments (Trust Funds)		
0001	2101.01	Investment Requests / Authorizations – These documents are used to capture and track investment portfolio activity. Records include, but are not limited to, (1) Investment/Redemption Requests used to request an investment or redemption transaction; (2) Transaction Confirmation used to confirm the investment/redemption transaction for the customer agencies; (3) Authorization letters (originals) pertaining to investments; (4) Position Statements used for listing investment activity for a specific time period; and (5) Transactions Reports used for listing detailed investment activity with multiple issue prices for a specific time period.	Disposition Rule # 1513 Cutoff at end of Fiscal year. Destroy 20 years after cutoff.	N1-53-01-02, 0009 N1-53-01-02, 0011 N1-53-01-02, 0012
0002	2101.02	Treasury Cumulative Journal - (old boxes in storage) - DO NOT USE FOR NEW RECORD. Remove this item from the File Plan and Retention schedule after the last box is destroyed in year 2020. These files are a cumulative printout of detail security activity by transaction from the time they are received as stock through destruction.	Disposition Rule # 3218 Cutoff when created. Destroy 50 years after cutoff.	NC1-53-78-09, 0002
0003	2102.01	Daily Work Records Summarizing Gas Activity – These records are used to summarize individual fund transactions on a daily basis. Records can include, but are not limited to, (1) Quotations on Securities for Special Nonmarketable Investments used to assign prices in market-based securities, (2) Overnight Rate Fax from Federal Reserve Bank – New York used to assign prices in one-day certificates, (3) Daily Market Quotes From OMF Request used to request “noon” market prices for pricing market-based transactions, (4) Daily Principal Totals Report used to display the principal amounts invested and redeemed by security type and fund, (5) Daily Interest Totals Detail Report used to display interest, discount and premium amounts related to investments and redemptions, (6) Daily Maturity Total Report used to summarize all maturities for a given day, (7) Daily TIIS Inflation Compensation Report used to show the amount of inflation compensation earned on Inflation Index securities, (8) One Day Redemption Report used to show principal and interest	Disposition Rule # 1513 Cutoff at end of Fiscal year. Destroy 20 years after cutoff.	N1-53-01-02, 0010

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	that will be redeemed for One Day securities, (9) Daily Activity Report used to update debt track reporting for the Office of Debt and Cash Management, and (10) Market Based Semi-Annual Interest Report used to show semi-annual interest payable on market based securities.			
0004	2103.01 Accounting Documents and Reconciling Records – These documents are used for summary reconciliation purposes and comparing issuing data. The records may include, but are not limited to, (1) Statement of Differences for Disbursement Transactions (TFS6652) used to reconcile investments and redemption that are supported by On-line Payment and Collection (OPAC) System transactions, (2) Undisbursed Appropriation Account Trial Balance (TFS6654) used to show summary trial balance totals, (3) Report of Unavailable Receipt Transactions (TFS6655) used to show summary trial balance totals, (4) PARS PDPB746 SF224 Section II Line 1 Detail Listing used to confirm that amounts listed on Section II of an SF224 reconcile with the TFS6652, (5) Monthly Register of Transactions (Support Listing) used in conjunction with the TFS6652's and shows where an agency is out of balance, (6) PARS PDPB759 SF224 Section I Detail Listing used to confirm that amounts listed on Section II of an SF224; (6) Statements of Transactions - SF 224 used to report receipt and disbursements for various Account Fund Symbols, (7) supporting material for Statement of Transactions (SF224) to show adjusting entries that are used to balance the SF224 whenever there are differences at the end of a month, (8) Undisbursed Appropriation Account Ledger (TFS6653) used to reconcile 20X6822.56 and .57 reports, (9) 1081/6653 Net Principle/Interest /Differences used to show investment differences between the GAS system and the agencies system, (10) ALC Call Sheets used to document discussion between Public Debt and Federal Agencies regarding accounting differences, and (11) Voucher Report by Category.	Disposition Rule # 1513 Cutoff at end of Fiscal year. Destroy 20 years after cutoff.	N1-53-01-02, 0013 N1-53-01-02, 0014 NC1-53-83-03, 020 NC1-53-83-03, 036 NC1-53-83-03, 042 NC1-53-83-03, 061 NC1-53-83-03, 074 NC1-53-83-03, 113 NN-162-60, 52A NN-162-60, 52D NN-162-60, 52E	
0005	2103.02 Accounting Files - Loan Control Ledgers - (old box in storage) – DO NOT USE FOR NEW RECORD. Remove this item from the File Plan and Retention schedule after the last box is destroyed in year 2057. The loan control ledgers summarize data pertaining to the volume, nature, and value of retired securities received for	Disposition Rule # 3218 Cutoff when created. Destroy 50 years after cutoff.	2NNA2178, 41	

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		processing and custody. These accounts are posted to from the audited advices of shipment and locally contrived controls. The ledgers are of administrative value providing basic summary documentation of security redemption and custody. The security destruction schedules are original and most legible copies, filed by class of securities and bound for convenience, of records containing notations as to withdrawals of items from the schedule. This retention is necessary in order to reconstruct and reconcile old accounts.		
0006	2103.03	Agency Cumulative Journal - Hard Copy (old boxes in storage) - DO NOT USE FOR NEW RECORDS. Remove this item from the File Plan and Retention schedule after the last box is destroyed in year 2020. These files are printouts of detail security activity by transaction for agency securities from the time they are received as stock through destruction.	Disposition Rule # 3218 Cutoff when created. Destroy 50 years after cutoff.	NC1-53-78-09, 003
0007	2104.01	GAS - End of Year Reports - This hard copy report summarizes by fund and security type the outstanding principal at the end of the day. The report displays the CUSIP, Issue date, Maturity date, and Investments/Redemptions for each security outstanding. This report is issued on last day of the fiscal year and is used to support summary level information in PARS.	Disposition Rule # 1516 Permanent. Cutoff at end of Fiscal year. Transfer to NARA after cutoff.	N1-53-01-02, 0006
0008	2105.01	Summary of Activities and Monthly Reports - These documents are used to summarize individual fund transactions on a monthly basis. At the end of the month the reports are distributed to BPD's Debt Accounting Branch, Treasury's Office of Cash and Debt Management, FMS's Budget Reports Branch, and the Congressional Budget Office. The report displays the CUSIP, Issue date, Maturity date, and Investments/Redemptions for each security outstanding. The records can include, but are not limited to: (1) Statement of Account used to summarize monthly investments, redemptions, and interest payments, (2) Average Interest Report used to calculate the average yield of GAS securities, (3) Monthly AFS Activity Report used to reconcile investment activity with STAR, (4) 1132 Investment Holding of Certain Trust Funds Holding Special Issues used to show investments by Trust Funds in GAS securities, Agency securities, and Marketable securities, (5) Interest Cost by Fund Report used to summarize the interest cost amounts for GAS securities, (6)	Disposition Rule # 1513 Cutoff at end of Fiscal year. Destroy 20 years after cutoff.	N1-53-01-02, 0005 N1-53-01-02, 0011

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		Deferred Discount Ledger Reports used to report unrealized discount for GAS securities outstanding, (7) Office of Market Finance (OMF) Average Interest Rate used to assign investment rates to various Trust Funds, which are utilized, and (8) Summarizes by fund and security type the outstanding principal at the end of the day.			
0009	2105.02	Cash Journal - (old boxes in storage) - DO NOT USE FOR NEW RECORD. Remove this item from the File Plan and Retention schedule after the last box is destroyed in year 2019. This file contains all cash transactions for a month. These transactions are for Treasury Bills, Notes, Bonds, and various other Treasury securities.	Disposition Rule # 3248 Cutoff when created. Destroy 50 years after cutoff.	NC1-53-78-09, 1	
0010	2106.01	GAS - Daily Reports - This is a hard copy report that summarizes by fund and security type the outstanding principal at the end of the day. The report displays the CUSIP, Issue date, Maturity date, and Investments/ Redemptions for each security outstanding. This report is issued daily and used by the Federal Investment Branch to reconcile the amount of principal outstanding contained in the GAS system to the amount reported in the Public Debt Accounting and Reporting System (PARS).	Disposition Rule # 3111 Cutoff when report or data is issued. Destroy 30 days after verification of data into electronic system.	N1-53-01-02, 0004	
	2200	Special Purpose Securities Investments			
0011	2201.01	Electronic Transaction Files - This is an electronic system designed to establish new accounts, maintenance existing accounts, receive funds for purchase of new securities, send maturity and interest payments due on securities, and generate reports on Special Purpose Securities. These securities include, but are not limited to, State and Local Government Series (SLGS) securities, Resolution Trust Fund Corporation (RefCorp), and US Mortgage Guaranty Insurance Company (MGIC) Tax and Loss Bonds. The system includes issue, redemption, payment, case maintenance, and correspondence history stored by customer TIN, and each is assigned a Treasury Case Number upon issue. The system stores this data in an active database for a set amount of time before it is purged to a secondary storage facility. This includes, but is not limited to, funds data. There are no electronic e-mails, spreadsheets, or word processing documents associated with these items.	Disposition Rule # 3311 Cutoff when complete, closed, settled, expired, or final action is complete. Destroy 7 years after cutoff.	N1-53-01-07, 0001A	
0012	2202.01	Electronic Settlement Files - This is an electronic system	Disposition Rule # 1008	N1-53-01-07, 0001B	

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	designed to establish new accounts, maintenance existing accounts, receive funds for purchase of new securities, send maturity and interest payments due on securities, and generate reports on Special Purpose Securities. These securities include, but are not limited to, State and Local Government Series (SLGS) securities, Resolution Trust Fund Corporation (RefCorp), and US Mortgage Guaranty Insurance Company (MGIC) Tax and Loss Bonds. The system includes issue, redemption, payment, case maintenance, and correspondence history stored by customer TIN, and each is assigned a Treasury Case Number upon issue. The system stores this data in an active database for a set amount of time before it is purged to a secondary storage facility. This includes, but is not limited to, funds data. There are no electronic e-mails, spreadsheets, or word processing documents associated with these items.	Cutoff at end of day. Destroy 7 year after cutoff.		
0013	2203.01 Electronic Accounting Files – This is an electronic system designed to establish new accounts, maintenance existing accounts, receive funds for purchase of new securities, send maturity and interest payments due on securities, and generate reports on Special Purpose Securities. These securities include, but are not limited to, State and Local Government Series (SLGS) securities, Resolution Trust Fund Corporation (RefCorp), and US Mortgage Guaranty Insurance Company (MGIC) Tax and Loss Bonds. The system includes issue, redemption, payment, case maintenance, and correspondence history stored by customer TIN, and each is assigned a Treasury Case Number upon issue. The system stores this data in an active database for a set amount of time before it is purged to a secondary storage facility. This includes, but is not limited to, accounting data; PARS reporting data and FMS reporting data; interest reports, fund receipt reports; future and prior issues and payments; outstanding security report; and security rollover report. There are no electronic e-mails, spreadsheets, or word processing documents associated with these items.	Disposition Rule # 3212 Cutoff when created. Destroy 10 years after cutoff.	N1-53-01-07, 0001C	
0014	2204.01 Hardwire Fedwire Fund Receipts – This includes hardcopies of fund receipts sent by financial institutions by the fedwire system to purchase Special Purpose Securities. Also includes, but is not	Disposition Rule # 1003 Cutoff at end of day. Destroy 30 days after verification of data entered into	N1-53-01-07, 0002	

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	limited to, receipts of rejected payments, receipts of early redemptions of Time Deposit SLGS, receipts of redemptions of Demand Deposit SLGS, receipts on manual underpayments, information received, ABA routing number of sender, State and Local Government Taxpayer ID, and amount of funds sent. The information is entered into the Special Purpose Securities electronic system.	system.		
0015	2205.01 Hardcopy Transaction Files – This includes, but is not limited to, SLGSafe access forms; issue requests of Time Deposit SLGS, Demand Deposit SLGS, RefCorp Securities, US Mortgage Guaranty Insurance Company (MGIC) Tax and Loss Bonds; redemption requests of Time Deposit SLGS, Demand Deposit SLGS, RefCorp Securities, and US Mortgage Guaranty Insurance Company (MGIC) Tax and Loss Bonds; and case information change requests for Time Deposit SLGS, Demand Deposit SLGS, RefCorp Securities; US Mortgage Guaranty Insurance Company (MGIC) Tax and Loss Bonds.	Disposition Rule # 1007 Cutoff at end of day. Retain 2 year in the office. Destroy after verification of microfilm/digital image.	N1-53-03-12, 0001 N1-53-86-01, 114 N1-53-86-01, 115 N1-53-86-01, 117B	
0016	2206.01 Microfilm/Imaged Transactions Files – This includes, but is not limited to, SLGSafe access forms, issue requests of Time Deposit SLGS, Demand Deposit SLGS, RefCorp Securities, and US Mortgage Guaranty Insurance Company (MGIC) Tax and Loss Bonds; redemption requests of Time Deposit SLGS, Demand Deposit SLGS, RefCorp Securities, and US Mortgage Guaranty Insurance Company (MGIC) Tax and Loss Bonds; and case information change requests for Time Deposit SLGS, Demand Deposit SLGS, RefCorp Securities, and US Mortgage Guaranty Insurance Company (MGIC) Tax and Loss Bonds.	Disposition Rule # 3216 Cut off when created. Destroy 45 years after cutoff.	N1-53-03-12, 0002	
0017	2207.01 Hardcopy Accounting Files - Includes, but is not limited to, interest reports, fund receipt reports, future and prior issues & payments, outstanding security report, and security rollover report.	Disposition Rule # 3220 Cutoff when created. Retain 2 year in office then image or microfilm. Destroy 7 years after cutoff.	N1-53-03-12, 0003	
0018	2208.01 Hardcopy FHA Transaction Files – This is information on FHA Transactions. It includes, but is not limited to, graphs and worksheets, work status, issue activity, payment summary, interest accrual report, and information on securities selected for call.	Disposition Rule # 3122 Cutoff at transaction date. Retain 2 year in office then image or microfilm. Destroy 27 years after cutoff.	N1-53-03-12, 0005 N1-53-02-11, 0001	
0019	2209.01 Hardcopy Mortgage Guaranty Insurance Tax & Loss Transactions - These are hardcopies of forms received from United States Mortgage Guaranty Insurance Companies for the	Disposition Rule # 3122 Cutoff at transaction date. Retain 2 year in office then image or microfilm.	N1-53-01-07, 0011B	

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		purchase of Tax and Loss Bonds. They include, but are not limited to, PD F 3871, which supplies the necessary data to subscribe, purchase, and issue Tax and Loss Bonds. The information is entered into the Special Purpose Securities electronic system.	Destroy 27 years after cutoff.	
	2300	Accounting Services for Treasury Loans (Borrowings from Department of Treasury)		
0020	2301.01	Historical Information – These are records recording the establishment, dissemination, revision, or updating of the loan; records proceeding the establishment of the loan that is relatable to the agency’s borrowing authority; and legislation coupled to interest rate certification. These records, electronic or hard-copy include, but are not limited to, records of pending legislation or legislation in effect; correspondence between the agency, Office of the Chief Counsel (OCC), and Financial Management Services (FMS); Executive Summary from OCC; authorized representative designation forms; signed loan agreements; and interest rate certification legislation.	Disposition Rule # 1604 Permanent Cutoff in 5-year intervals. Transfer to NARA in 5 year increments.	N1-53-02-09, 0005
0021	2302.01	Transaction Supporting Documentation and Reconciliation – These are records, either electronic copies or hard copies, which may include, but are not limited to, correspondence; XML files; Excel spreadsheets; Access databases; Word documents; computer generated reports; print-screens; borrowing and repayment transactions from the Government’s central accounting and reporting System (SF-1151); and interest collections and payments via the Government’s intra-governmental fund transfer system (SF-1081). Among other things they are used for reconciling the Monthly Treasury Statement Table 6, Schedule C with the Government’s central accounting and reporting system and the Bureau of the Public Debt’s summary general ledger system and detailed subsidiary system; daily reconciliation of detailed subsidiary system and the summary general ledger system; interest payment verification; posting interest accruals; daily and monthly balancing of Federal Financing Bank’s detailed subsidiary system with the Bureau of the Public Debt’s detailed subsidiary system; the Intra-governmental elimination confirmation between the Bureau of the Public Debt and other federal agencies that borrow funds from the Treasury Department; agency balance	Disposition Rule # 1503 Cutoff at end of fiscal year. Destroy 2 years after cutoff.	N1-53-02-09, 0001

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		confirmations; and interest credits.		
0022	2303.01	Interest Rates – These are records used in the preparation and agency notification of monthly, quarterly, semi-annual; and annual Treasury certified interest rates and the monthly borrowing rates. The borrowing rates include, but are not limited to, borrowing rates, prompt payment rates, and trust fund rates. These records, either electronic or hard copies, include, but are not limited to, Office of Market Finance interest rate letters, Office of Management and Budget (OMB) memos, Yearly Reclamation Reform Act Report, interest certification letters, correspondence, supporting worksheets, and Word documents.	Disposition Rule # 1604 Permanent. Cutoff in 5-year intervals. Transfer to NARA in 5 year increments.	N1-53-02-09, 005
0023	2304.01	Financial Statements and Reconciliation – These are records representing the balances of the loans receivable from the federal agencies that borrow from the Department of the Treasury and the related interest receivable, which are used for, among other things the aging schedule and audit requests. These records, either electronic or hard copies, include, but are not limited to, maturities file showing expected principal and interest payments; correspondence between the Inspector General, Government Accounting Office (GAO), and assigned auditors; Excel worksheets; Word documents; computer generated reports; and print-screens.	Disposition Rule # 1510 Cutoff at end of fiscal year. Destroy 6 years 3 months after cutoff.	N1-53-02-09, 0002
0024	2305.01	Washington Aqueduct – These are Washington Aqueduct Capital Improvements, Corps of Engineers (96X3128) reports documenting the quarterly payment of principal and interest on borrowings and special Treasury loans. The records, either electronic or hard copy, include, but are not limited to, quarterly interest calculation worksheets, quarterly notice of interest capitalization, pricing interest rates worksheet sent from Federal Financing Bank, monthly interest rate confirmation notice, principal and capitalized interest payment schedule, and principal and interest payment summary.	Disposition Rule # 1514 Cutoff at end of Fiscal year. Destroy 25 years after cutoff.	N1-53-02-09, 0008