

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

LEAVE BLANK	
DATE RECEIVED SEP 16 1975	JOB NO. NC - 53-76-3
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with-drawn" in column 10.	
<i>11-5-75</i> Date	<i>James B. Rhoads</i> Archivist of the United States

**TO: GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408**

1. FROM (AGENCY OR ESTABLISHMENT)
Treasury Department

2. MAJOR SUBDIVISION
Bureau of the Public Debt

3. MINOR SUBDIVISION
Washington Office

4. NAME OF PERSON WITH WHOM TO CONFER
Thom B. Ellis

5. TEL. EXT.
184-7151

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 3 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

9/17/75

H. M. Mintz

Commissioner

(Date)

(Signature of Agency Representative)

(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
22.	<p>COMPREHENSIVE SCHEDULE NUMBER 3, REVISED</p> <p align="center"><u>BANK AND INSTITUTION SURVEY</u></p> <p>Bank and Institution Reports Files.</p> <p>a. Card Files of reporting institutions.</p> <p>(1) Pink file cards maintained by state, city and institution. RETAIN <i>Dispose 6 months after cancellation.</i></p> <p>(2) White file cards maintained by state, city and institution. Dispose when superseded.</p> <p>b. Annual control book. Dispose after 1 year.</p> <p>c. Bank and institution surveys. Dispose after 2 years.</p> <p>d. Corporate pension surveys. Dispose after 2 years.</p> <p>e. Corporate pension trust reports. Dispose after 2 years.</p> <p>f. Reports received from reporting institutions.</p> <p>(1) Reports for March, June, September and December. Dispose after 2 years.</p> <p>(2) All others. Dispose after 6 months.</p>		

** Change authorized by Thom B. Ellis, Oct. 22/75. *HEB**
Copies to Agency + NEW 11-71500

15 items

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>g. Minor subject files. Screen semiannually and dispose of material of no further reference value.</p> <p>h. All other reports. Dispose after 1 year.</p> <p>These reports pertain to a continuous survey carried on by the Bureau to gather data on the types and extent of the ownership of securities issued or guaranteed by the United States among banks, insurance companies and certain other institutions.</p> <p>The pink and white card files of the reporting institutions are maintained by state, city, and institution. When an institution ceases to participate in the survey for any reason, the related pink cards are cancelled. Those pink cards that are cancelled, are placed in a 'cancelled' file and maintained for referral. White cards are disposed of when superseded.</p> <p>The annual control books, which show by months whether reports are received, the additions, cancellations, changes of name, etc., are of little value after the time specified as all pertinent information may then be obtained from the pink file cards.</p> <p>The bank and institution surveys contain: (1) Summaries of ownership by classes of investors (Tables 1 through 5); (2) Summaries of Federal Reserve Districts (Tables 6 through 17); (3) 25 largest holders of securities maturing within 7 years, and those bonds recently offered; (4) Holdings of agencies; (5) Average length; (6) Corporation repurchase table; (7) Security verification report. The corporate pension trust reports are also, in effect, a part of the bank and institution survey.</p> <p>The reports received from the participating institutions are retained for a brief period as the pertinent information contained is available in the surveys. The minor subject files consist principally of miscellaneous correspondence relating to changes of addresses, etc., from the reporting institutions and other routine subject matter.</p>		

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53.	<p style="text-align: center;"><u>DIVISION OF INTERNAL AUDIT</u></p> <p>Internal Audit Files.</p> <ul style="list-style-type: none">a. Copies of audit reports. Dispose after 4 years.b. Audit reference files. Dispose after 4 years.c. Audit working papers. Dispose after 4 years.d. Status of securities under seal.<ul style="list-style-type: none">(1) Auditor's copies. Dispose of superseded copies after yearly internal audit.(2) All other copies. Dispose when superseded. <p>These files pertain to financial compliance, operational, and ADP Audits in the Washington and Parkersburg Offices; financial compliance audits for the U. S. Savings Bond Division; and the on-site inspection of the internal audit program in the Parkersburg Office.</p> <p>The copies of the audit reports, audit working papers, and audit reference files of the Bureau's operations are retained for their value in connection with subsequent audits. They are also retained for use by the General Accounting Office and the Office of the Secretary, Office of Audit, in their review of the Bureau's audit activities.</p> <p>Subsection "d" covers the stocks of securities which are audited by the Division of Securities Operations and the Division of Internal Audit. These stocks are placed in the vault under audit seal and under the joint control of both Divisions. Any deposits or withdrawals are made under joint action and a new status record is prepared.</p>		