

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) 8601 Adelphi Road, College Park, MD 20740-6001		JOB NUMBER 71-425-01-4	DATE RECEIVED 9-28-2000
1. FROM (Agency or establishment) Department of the Treasury		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Financial Management Service		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Operations			
4. NAME OF PERSON WITH WHOM TO CONFER Sharon M. King	5. TELEPHONE (202) 874-6960	DATE	ARCHIVIST OF THE UNITED STATES WITHDRAWN

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 15 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 9/28/00	SIGNATURE OF AGENCY REPRESENTATIVE <i>Sharon M. King</i> Sharon M. King	TITLE Director, Administrative Programs Div.
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p><u>Financial Operations (FO)</u></p> <p>FO is one of eight major program areas in FMS Its mission is to provide a financial infrastructure for Federal payments, claims, collections, as well as other transactions. FO accomplishes its mission by providing financial services, operating financial systems, and overseeing Treasury Managed Accounts and central agency functions</p> <p>(See attached sheets)</p> <p style="text-align: center;">WITHDRAWN</p>		

1. Check Payment and Reconciliation System (CP&R)

The CP&R System is the centralized computer system which processes four major categories of data; issues, payments, unavailable check cancellations/check status inquiries, and available check cancellations. It serves as the Federal Government's checkbook. The CP&R System is used to process issue information received from Treasury's Regional Finance Centers (RFCs) and from Non-Treasury Disbursing Offices (NTDOs) around the world. Payment information is received from eight Federal Reserve Bank (FRB) Check Processing Offices; unavailable check cancellations/check status inquiries are received from Federal Program Agencies and NTDOs, and Available Check Cancellations are received from Treasury's RFCs.

- A. Inputs: Include electronic updates from various sources, including internal FMS systems [e.g. RFC check issues, claims files and Available Check Cancellations, Treasury Receivable Accounting and Collection System (TRACS) case history updates] and external systems (Federal Reserve Bank check payment files; Non-Treasury Disbursing Office check issues and claims). These inputs provide data against which transactions are processed within the CP&R system. A complete list of inputs is available in the system documentation.

Disposition: Delete input files 30 days after input and verification.

- B. Master File: Includes the check symbol and serial number, issue date, dollar amount and ALC of authorizing agency for all check payments reported by Disbursing Offices. In addition, these records may contain information related to the negotiation of the checks [payment transmittal number and date, payment amount, document identification number (DIN), amount adjustments] or any claims filed against the checks (payee name and address, payee ID, reason for claim, case actions taken). Records in the system date to 1991. Updates are done nightly.

Disposition: (1) IIM records: Delete from data base and index when 20 years old.

(2) Non-IIM (all other) records: Delete from data base and index when 7 years old.

- C. Outputs: Include electronic files to internal FMS systems [e.g. claims disposition files to RFCs; transaction files to the Treasury Receivable Accounting and Collection System; daily update files to the Payments, Claims and Enhanced Reconciliation

(PACER) system;] and to external systems (e.g. claims disposition files to NTDOs) Outputs also include electronic and paper versions of reports (e.g. daily and monthly activity and statistical reports) that are used to process exception items identified by CP&R and that provide short-term historical information on work volumes and system activities. A complete list of outputs is available in the system documentation.

Disposition: (1) Output files to other systems: Delete 30 days after output

(2) Electronic versions of output reports: Delete from data base when 20 years old.

(3) Paper versions of output reports: Destroy when no longer needed for agency business.

D. System Documentation:

Data systems specifications, file specifications, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base.

Disposition: Maintain for life of system plus 3 years.

2 Treasury Receivable Accounting and Collection System (TRACS)

TRACS is a debt recovery and accounting system that performs all accounting, financial reporting, debt billing and collection activities associated with the U.S. Treasury check claims processes in the Financial Processing Division. TRACS was implemented in 1991 and is updated on a daily basis.

A. Inputs: Include electronic and tape updates from various sources, including internal FMS systems (e.g. Unavailable Check Cancellation files, Payment-Over-Cancellation files, and Limited Payability Cancellation and Declination files from CP&R; ALC address file from STAR) and external systems (e.g. confirmation of actions from GOALS; reclamation notice file from FRB Richmond; offset files from Department of Education). These inputs provide data for accounting transaction processing in TRACS. A complete list of inputs is available in the system documentation.

Disposition: Delete input files (electronic and tape) 30 days after input and verification

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- B. Master File. Includes the check symbol, serial number and dollar amount of the check involved and may also include information such as the payee name, check date, payee ID, presenting bank routing and transit number, amount of monies reclaimed from financial institutions, amount of penalties and interest assessed and collected from financial institutions, action codes equating to case statuses.

Disposition: Delete records from data base and index when 20 years old

- C. Outputs: Include electronic files and tapes to internal FMS systems (e.g. SF 1166 payment schedule tape to RFC Philadelphia; case history updates to CP&R) and to external systems (e.g. summary accounting and check-level detail to GOALS; request for offset tape to Department of Education; reclamation request file and weekly financial institution address file to FRB Richmond; 1099C file to IRS). Outputs also include paper SF 1081 accounting transaction to agencies and daily and monthly activity and statistical reports that are used to process exception items identified by TRACS and that provide short-term historical information on system activities. A complete list of outputs is available in the system documentation

Disposition: (1) Output files to other systems: Delete 30 days after output

(2) Paper output records: Destroy when no longer needed for agency business.

- D. System Documentation:

Data systems specifications, file specifications, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base.

Disposition: Maintain for life of system plus 3 years

3. Digital Check Image System

The Digital Check Image (DCI) System at FMS processes requests to the FRB Boston for check images that are needed for check reconciliation and claims aftermath processing; keeps track of the status of the requests, receives and retains the images provided; and makes the images available to internal FMS users and authorized Federal Program Agency and Federal Reserve Bank personnel.

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- A. Inputs: Include electronic updates from various sources, including internal FMS systems (e.g. requests for images initiated in CP&R and PACER) and external systems (e.g. image files from FRB Boston).

Disposition: Delete input files 30 days after input and verification

- B. Master File: Includes the Document Identification Number (DIN) of the item requested, the status of the image request, and the image of the check. Updates occur daily. Printed digital check images are mailed to the requester.

Disposition: Destroy 60 days after receipt in system.

- C. Outputs: Include an electronic file to FRB Boston and printed digital check images

Disposition: Check image request file to FRB. Delete 30 days after output

- D. System Documentation:

Data systems specifications, file specifications, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base.

Disposition: Maintain for life of system plus 3 years.

4. OTFM Activity Tracking System

The OTFM Activity Tracking System (OATS) was designed and built by FMS in order to satisfy a stipulation which was made to the Court during litigation related to Individual Indian Monies (IIM) accounts serviced by the Office of Trust Funds Management (OTFM), part of the Department of Interior. A concern was raised that the current FMS systems (CP&R and PACER) can only be searched using the check symbol and serial number of a check issued by a Non-Treasury Disbursing Office. If that information is unknown, FMS is unable to provide information relative to a payment. The purpose of OATS is to provide a cross-reference between the name and or account number of an IIM account holder and the check number of a check issued by OTFM.

- A. Inputs. Include electronic updates from sources including check issue data submitted by OTFM and check payment data submitted by the Federal Reserve System

Disposition: Delete files 30 days after input and verification.

B. Master File:

Information is for checks issued by OTFM using their disbursing symbol and includes the check symbol and serial number, the check issue date, the check issue amount, the payee last name and first name (the account holder name on check payment data), the account holder ID, and the Document Identification Number (DIN) on check payment data. The information from the two sources of data are captured and retained on separate tables. The payment data is for checks "paid" by the FRB on April 21, 2000 and after; the issue data from OTFM is for checks issued in April 2000 and after. Data is updated weekly.

Disposition: Delete records 20 years after year of payment.

C. Outputs: Include load verification reports and on-line access to information in data base tables

Disposition: (1) Reports: Destroy when verification is complete.

(2) On-line information: Delete when no longer needed for reference

D. System Documentation:

Data systems specifications, file specifications, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base.

Disposition: Maintain for life of system plus 3 years.

5. OTFM Data Entry System (ODES)

ODES is a data entry system designed and developed by the Philadelphia Federal Reserve Bank (FRB) in order to assist FMS in satisfying a stipulation which was made to the Court during litigation related to Individual Indian Monies (IIM) accounts serviced by the Office of Trust Funds Management (OTFM), part of the Department of Interior. The purpose of ODES is to capture specific information about negotiated checks issued by OTFM and provide the information to FMS for archive and retrieval in the OTFM Activity Tracking System (OATS).

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A. Inputs: Include electronic updates from sources including check payment data from FRBs' government check processing sites and account-holder name and number from a database provided by OTFM.

Disposition (1) Files from FRBs: Delete 120 days after input and verification.

(2) Input from OTFM: Delete upon receipt of updated file

B. Master File: Includes the check symbol and serial number, the check issue date, the check issue amount, the account-holder last name and first name, the account-holder ID, and the Document Identification Number (DIN) assigned to negotiated checks during FRB processing. Updates occur daily as work is received from the FRBs.

Disposition Delete records 6 months after month created.

C. Outputs: Include an electronic file to FMS containing records of data input during previous week and operational reports used by FRB for quality control of data entry process.

Disposition: (1) Output files: Delete 120 days after transmission to FMS.

(2) Reports: Destroy when no longer needed for operational activities

D. System Documentation.

Data systems specifications, file specifications, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base.

Disposition: (1) Maintain for life of system plus 3 years.

6. CashLink

CashLink is a cash concentration and information system used primarily to manage the collection of government funds. CashLink receives deposit and accounting information from financial institutions throughout the world, initiates funds transfers into the Treasury's

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General Accounting at the Federal Reserve Bank, and provides accounting information to STAR, the Central Accounting System. CashLink access is provided to the Federal Program Agencies to verify their bank deposits, Fedwire collections and ACH receipts. The following mechanisms operate under or feed data into CashLink: Domestic Treasury General Account Depositories; International Treasury's General Account Depositories; Federal Reserve Banks, Paper Lockbox Depositories; ACH Lockbox Depositories; Plastic Card Network; Commodity Credit Corporation Concentration Banking System; Fedwire Deposit System; Remittance Express, Regional Finance Center Pre-Authorized Debit System; Restoration Reporting; USA Card; FEDTAXII.

- A. Inputs: Include electronic updates from various sources, including internal FMS systems (e.g. STAR and the Kansas City Regional Financial Center) and external systems (e.g. Federal Reserve Banks, various financial institutions, Commodity Credit Corporation). Inputs also include adjustment data from internal journal vouchers.

Disposition. (1) Input files: Delete 30 days after input and verification.

(2) Paper documents: Destroy 30 days after input.

- B. Master File: Deposit Detail information includes, but is not limited to, voucher number and date, dollar amount, Agency Location Code (ALC), and ABA No. of financial institution reporting deposit. Standard Fedwire data elements include, but are not limited to, acceptance time stamp, sender financial institution, sender reference number, beneficiary (i.e., Federal Program Agency), and beneficiary information, such as loan number or program details to assist agency with identifying payment. ACH records contain standard NACHA data elements, including batch data (company name and ID, settlement date, batch number), Detail data (transaction code, account number, trace number), and Addenda data. Bank Management information includes income and expense records used for compensating financial institutions.

Disposition. (1) IIM records: Delete when 20 years old.

(2) Non-IIM records: Delete when 7 years old.

- C. Outputs: Include electronic funds transfer (EFT) instructions to financial institutions (ACH debits, Fedwire requests); electronic file transfers of deposit details, Fedwire messages and ACH records to external Federal Program Agency systems; electronic data transmission of CashLink voucher details to internal FMS systems, STAR and RISC 6000; Outputs also include electronic and paper versions of reports (daily and monthly reports) produced for internal FMS CashLink users and external CashLink users. These reports provide such information as collection volumes, funds transfer information, compensation information, and security maintenance.

Disposition. (1) EFT instruction records. Delete after 7 years.

(2) Electronic file transfers and data transmissions: Delete after 5 days.

(3) Destroy reports produced for internal users when no longer needed operationally.

D. System Documentation

Data systems specifications, file specifications, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base.

Disposition: Maintain for life of system plus 3 years.

7. Government On-Line Accounting Link System (GOALS)

GOALS automates the collection and dissemination of financial and accounting documents and information received from or submitted to Federal Program Agencies (FPAs), FMS's Regional Financial Centers (RFCs), and STAR (FMS's Central Accounting system) GOALS is an electronic conduit or pass-through mechanism used for relaying financial information that is officially retained and backed up in FMS's automated systems (STAR or TRACS), FPA automated systems, or on microfiche provided to FPAs and/or FMS. The current GOALS process is operated by General Dynamics Information Systems (GDIS).

A. Inputs: Include various financial and accounting documents and information from a variety of sources, including internal FMS systems (e.g. STAR and TRACS) and from FPAs. GOALS applications that receive inputs from internal FMS systems allow FPAs to view accounting information. Applications that receive inputs from FPAs forward the information to FMS systems for processing, except for OMB's SF 133 application

Disposition: Delete input files after input and verification.

B. Data Files: All of the data that passes to or from FMS systems through GOALS is retained and backed up in FMS systems or on microfiche. The GOALS contractor generates (1) tapes containing all information in GOALS at given points in time; and (2) monthly activity tapes from selected applications which are converted to microfiche. Microfiche is distributed to other FMS offices; microfiche distributed to Financial Operations is scheduled in Item 12 of this schedule. Microfiche is also distributed to other agencies.

- Disposition* (1) Daily tapes: Delete after one week.
- (2) Weekly tapes: Delete after five weeks.
- (3) Monthly tapes Delete after six months.
- (4) Monthly activity tapes: Delete 30 days after output.

C. Outputs: Include electronic files to internal FMS systems (e.g. STAR) and electronic versions of reports

Disposition: Delete 30 days after output

D. System Documentation:

Record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base.

Disposition: Maintain for life of system.

8. Paid and Reconciled U.S. Government Checks

Physical U.S. Government checks that have been processed through banking channels and the Federal Reserve System (FRS). After the checks have been negotiated, they eventually end up at one of the FRS processing sites. There, the accounting information is collected and forwarded to FMS for processing. At the same time, the Federal Reserve Bank (FRB) captures digital images of the physical checks. The physical checks are shipped to the Federal Records Center (FRC) designated to receive checks from each FRB. The checks are stored at the FRC until they are retrieved by FMS for check aftermath processing or are destroyed per disposition schedules. Retrieved checks are maintained by date of receipt from FRC

A. Checks sent by FRBs to Federal Records Centers (undifferentiated records)

Disposition: Cutoff at end of month from date of payment. Destroy 7 years after cutoff

B Checks retrieved from Federal Records Centers

Disposition: Cutoff at end of month from date of receipt. Store retrieved checks at FMS only. Destroy 7 years after cutoff.

C. OTFM checks, paid after April 21, 2000, and sent by FRB to Federal Records Centers

Disposition: Cutoff at end of calendar year. Destroy 20 years after cutoff

D. OTFM checks retrieved from Federal Records Centers

Disposition: Cutoff at end of month from date of receipt Store retrieved checks at FMS only Destroy 20 years after cutoff

9. Images of Raid and Reconciled U.S. Government Checks

Images of physical U.S. Government checks that have been processed through banking channels and the Federal Reserve Banks (FRBs). Beginning in 1977 the FRBs created microfilm of negotiated U.S. Government checks. In April 1997 the Federal Reserve System began a phased replacement of microfilm images of negotiated U.S. Government checks with digital images. The roll-out of the imaging in all FRBs was completed in August 1998. The images are stored on electronic media in the National Image Archive which is located at the FRB in Boston, MA. When images are needed for check aftermath processing, they are requested and retained temporarily at FMS in Hyattsville, MD.

A. Microfilm images of all negotiated U. S. Government check (undifferentiated records)

Disposition: Cutoff daily by Julian date Destroy when 7 years old.

Item Number 9A of this schedule supersedes item number 355 of NI-425-91-1 schedule

B. Digital images of all negotiated U.S. Government checks

Disposition: Cutoff daily by Julian date Destroy when 7 years old

C. Digital images of OTFM checks, paid after April 21, 2000, on CD-ROM.

Disposition: Destroy when newest record on CD-ROM is 20 years old.

10. Disbursing Office Records

Records in Check Reconciliation Branch including correspondence on the establishment or closure of a disbursing symbol; orders for additional check stock; letters pertaining to procedural matters and adjustment requests; a manual log of all symbol numbers assigned and available for assignment; and documentation related to the closure of a Disbursing Office.

A. Disbursing Office Folder

Disposition: Cutoff when disbursing office symbol is closed out. Destroy when 20 years old or when no longer needed for agency business, whichever is later.

B. Symbol Assignment Log

Disposition: Update as needed. Destroy when 20 years old or when no longer needed for agency business, whichever is later.

C. Correspondence

Disposition: Cutoff at the end of each Fiscal Year. Destroy two years after cutoff

D. PNI Closed D.O. Symbol Files

Disposition: Cutoff file at close out of disbursing office symbol. Destroy when 20 years old or when no longer needed for agency business, whichever is later.

E. Records of Outstanding Liabilities

Ledgers and forms submitted by Disbursing Officers requesting a dollar amount to be credited to the Outstanding Liabilities account representing Treasury checks that were outstanding and unpaid for more than one full fiscal year.

Disposition: Cutoff after date submitted. Destroy six months after cutoff.

11. Check Claims Records

Trace actions, to initiate a claim, are received from agencies in hard copy form. Once received, the information is captured in electronic form for processing into the CP&R system.

Case folders are created to maintain control of all paper documents associated with the processing of an active claim on a U.S. Government check. Once the final actions have been taken, the paper in the case folders is captured on microfiche for retention and future reference, if needed. The paper claim form is retained for a short period of time prior to destruction.

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A. Trace Actions

Disposition: Destroy 60 days after data entry.

B. Paper case file

Disposition: Destroy after case has been microfiched and verified.

C. Claim form associated with paper case file.

Disposition: Cutoff at the end of each month. Destroy 6 months after cutoff.

D. Microfiche of closed claims cases.

Disposition: Destroy 7 years after closure.

E. Microfiche of closed claims cases for OTFM-issued checks.

Disposition: Destroy 20 years after closure

12. Accounting Records

Accounting documents are created, or received, to document the flow of funds into and out of TRACS or other systems, including GOALS and STAR. These documents include, but are not limited to, documents used by Federal Reserve Banks to process credits to FMS, documents used by FMS to process debits to Federal Program Agencies and documents in support of accounting transactions. Microfiche of these transactions is created by STAR or GOALS.

Disposition: (1) Paper documents: Cutoff at the end of each fiscal year. Destroy 7 years after cutoff.

(2) Microfiche: Cutoff at the end of each fiscal year. Destroy 20 years after cutoff.

13. Questioned Document Records

The Questioned Documents Branch uses PC-based software to maintain databases of information on the results of examinations of documents that are not part of check claims case processing, including altered or counterfeit checks identified by the CR&R system and

claims on checks greater than 18 months old that are sent in by agencies (limited payability cases). These databases are maintained primarily to record receipt of a document for examination, and of the results of that examination. The information from the databases is moved to floppy discs at the end of each calendar year. The Branch also maintains paper copies of the handwriting opinions returned to agencies.

A. Altered/Counterfeit Check Database

Disposition: Cut off at the end of each calendar year. Delete records 7 years after cutoff.

B. Limited Payability Database

Disposition: Cut off at the end of each calendar year. Delete records 7 years after cutoff.

C. Limited Payability Handwriting Opinions

Disposition: Cut off at the end of each calendar year. Destroy 3 years after cutoff

14. Postal Savings Certificate

The Postal Savings System was established in 1910 by an Act of Congress. The aim was to attract the savings of immigrants accustomed to saving at Post Offices in their native countries rather than through banks. The System was discontinued in 1966 and a Statute of Limitations Act of 1984 was passed, such that no claim could be brought more than one year after enactment.

A. Paid Case Files

Disposition: Destroy 7 years after payment

B. Correspondence -- Miscellaneous, More Information, Duplicates Issues and No Account

Disposition: Destroy when 2 years old.

C. Payment Schedules (SF-1166) Copies of Reissued Checks (SF-1147), Copies of Cancelled Checks (SF-1185 and SF-1098)

Disposition: Destroy when 7 years old.

D Microfiche of Postal Savings correspondence, checks and copies of microfiche

Disposition: Destroy when 7 years old

15. Judgement Cases processed and paid by Treasury

A. Case Files of Judgments over \$100,000 and Indian Claims

Disposition: Destroy 7 years after payment is made.

B. Private & Public Relief Bills – Case Files (BA5090)

Disposition: Destroy 7 years after payment is made

C. Judgement Cases – Certificates of Settlement

Disposition: Destroy when 2 years old.

16. Chronological Program Related Paper Files

These are paper files that pertain to actions, adjustments and transactions relating to the accounting activity that is reported by Federal Program Agencies, financial institutions, disbursing offices, Regional Financial Centers and/or Federal Reserve Banks (FRBs). The paper files serve both as documentation and a written audit trail to prove that FMS's payments, reconciliation and collection activities further the processing of relevant central data into either the Check Payment and Reconciliation System and Treasury Receivable Accounting and Collection System. Further, it exists as written evidence of FMS's activities in response to its responsibilities under various pieces of legislation, including both the Budget and Accounting Procedures Act of 1950 and the Government Management Reform Act of 1994 among others.

A Record Copy

Disposition: Destroy when 7 years old.

B. Copies

Disposition: Destroy when 3 years old.

C. Working Papers

Disposition: Destroy when 3 years old.

17. Electronic Mail and Word Processing System Copies

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- A. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Disposition Destroy/delete within 180 days after the recordkeeping copy has been produced.

- B. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Disposition Destroy/delete when dissemination, revision, or updating is completed

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