

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(see instructions on reverse)

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

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

2. MAJOR SUBDIVISION  
OFFICE OF PUBLIC DEBT ACCOUNTING

3. MINOR SUBDIVISION  
DIVISION OF SPECIAL INVESTMENT

4. NAME OF PERSON WITH WHOM TO CONFER  
RONDA BLAKE

5. TELEPHONE  
(304) 480-6019

**DO NOT WRITE IN THESE SPACES** (NARA use only)

JOB NUMBER  
71-053-01-7

DATE RECEIVED  
7-11-01

**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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column

DATE  
11-15-01

ARCHIVIST OF THE UNITED STATES  
*John W. Paul*

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 9 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: 7-9-01

SIGNATURE OF AGENCY REPRESENTATIVE: *Ronda Blake*

TITLE: *Records Specialist*

| 7. ITEM NO                         | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION. | 9. GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN (NARA USE ONLY) |
|------------------------------------|--|-----------------------------------|----------------------------------|
|                                    | <b>SEE THE ATTACHED SHEETS</b>                   |                                   |                                  |
| <i>cc Agency NR NWML NWME NWMD</i> |  |                                   |                                  |

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For the Bureau of the Public Debt

August 27, 2001

| 7. ITEM NO.      | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION   | 9. GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN<br>(NARA USE ONLY) |
|------------------|---|-----------------------------------|-------------------------------------|
| N1-53-01-07-0003 | <p>Title: SPSS-REJECTED FEDWIRE FUNDS-MANUAL INPUTS</p> <p>Title Memo: These are hard copies of payments rejected by financial institutions that are sent by the Fedwire system for but not limited to early redemptions, demand deposit redemptions, manual payments, and underpayments of special purpose securities.</p> <p>Form Number:                      Form Series:                      Restrictions: NONE<br/> Computer System: SPSS              Cost Code: 25000<br/> Retention Years: 2                      Retention Months: 0              Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.<br/> Hardcopy: Destroy 2 years after verification of input to system.</p>   |                                   |                                     |
| N1-53-01-07-0004 | <p>Title: SPSS-SLGSAFE INTERNET ACCESS &amp; USER ACKNOWLEDGMENT-MANUAL INPUTS</p> <p>Title Memo: These are forms received from State and Local Government bodies, Investment Banking firms, Financial Institutions, Bond Councils, and Resolution Funding Corporations requesting access to the SLGSafe internet secure site and identifying individuals that are to have access. These forms include but are not limited to 4144-5 and 4144-6.</p> <p>Form Number:                      Form Series:                      Restrictions: NONE<br/> Computer System: SPSS              Cost Code: 25000<br/> Retention Years: 3                      Retention Months: 0              Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.<br/> Hardcopy: Cut off after receipt. Destroy 3 years after cutoff or when it is no longer needed, whichever occurs first.</p>   |                                   |                                     |
| N1-53-01-07-0005 | <p>Title: SPSS-SLGSAFE TEMPLATE WORKSHEET &amp; CASE CHANGE REQUEST-MANUAL INPUTS</p> <p>Title Memo: These are forms received from State and Local Government bodies, Investment Banking firms, Financial Institutions, and Bond Councils that are users of SLGSafe. They are used to request templates be made of their financial information that is to be automatically inserted into new SLGS subscriptions that they are entering on SLGSafe. They are also used to request changes that they are not authorized to make to existing cases that are stored in the SPSS system.</p> <p>Form Number:                      Form Series:                      Restrictions: NONE<br/> Computer System: SPSS              Cost Code: 25000<br/> Retention Years: 47                      Retention Months: 0              Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.<br/> a. Hardcopy: Microfilm paper copy 2 years after receipt. Destroy paper copy after microfilm has been reviewed and approved.<br/> b. Microfilm: Destroy microfilm when 45 years old.</p> |                                   |                                     |

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|------------------|---|-----------------------------------|-------------------------------------|
| N1-53-01-07-0001 | <p data-bbox="268 264 1059 291">Title: SPSS-SPECIAL PURPOSE SECURITIES SYSTEM-MASTERFILE</p> <p data-bbox="268 327 1225 678">Title Memo: SPSS is a client-server system designed to establish new accounts, maintenance assisting accounts, receive funds for purchase of new securities, send maturity and interest payments due on securities, and generate reports and statements of accounts on special purpose securities. These securities included State and Local Government Series (SLGS) securities, Resolution Trust Funding Corporation (RefCorp), and United States Mortgage Guaranty Insurance Company Tax &amp; Loss Bonds. The system includes issue, redemption, payment history, and case maintenance history organized and stored by customer TIN, and assigned case numbers. The system stores this data in an active database until its retention period is met then it is from the system. There are no electronic e-mails, spreadsheets, or word processing documents associated with these items.</p> <p data-bbox="268 714 1155 806">Form Number:                      Form Series:                      Restrictions: NONE<br/>Computer System: SPSS              Cost Code: 25000<br/>Retention Years: 10                  Retention Months: 0              Vital Records: <input type="checkbox"/></p> <p data-bbox="268 842 1206 1129">Retention Description: Temporary.<br/>a. Accrual files: Cutoff when case is closed. Delete 7 years after cutoff. This includes but is not limited to accrual events, non-accrual events, history data, customer data, and case data.<br/>b. Settlement files: Cutoff daily. Delete 7 years after cutoff. This includes but is not limited to fund data.<br/>c. Accounting files: Cutoff after created. Delete 10 years after created. This includes but is not limited to accounting data, PARS reporting data, and FMS reporting data.</p> |                                   |                                     |
| N1-53-01-07-0002 | <p data-bbox="268 1167 954 1194">Title: SPSS-FEDWIRE FUNDS RECEIPTS-MANUAL INPUTS</p> <p data-bbox="268 1230 1214 1323">Title Memo: These are hard copies of receipts sent by financial institutions by the fedwire system to purchase special purpose securities. ABA routing number of sender, state and local government tax ID, and amount of funds sent are entered into SPSS.</p> <p data-bbox="268 1358 1155 1451">Form Number:                      Form Series:                      Restrictions: NONE<br/>Computer System: SPSS              Cost Code: 25000<br/>Retention Years: 0                  Retention Months: 1              Vital Records: <input type="checkbox"/></p> <p data-bbox="268 1486 938 1549">Retention Description: Temporary.<br/>Hardcopy: Destroy 30 days after verification of input to system.</p>   |                                   |                                     |

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|------------------|--|-----------------------------------|---|
| N1-53-01-07-0006 | <p>Title: SPSS-SLGS CHANGE REQUEST-MANUAL INPUTS</p> <p>Title Memo: These are hard copies of forms and correspondence received from State and Local Government Entities, Investment Banking firms, Financial Institutions, Bond Councils, and Resolution Funding Corporations. They are used to request changes be made to existing information contained in cases already established for special purpose securities.</p> <p>Form Number: PD F 5376                      Form Series:                      Restrictions: NONE<br/>                     Computer System: SPSS                      Cost Code: 25000<br/>                     Retention Years: 47                      Retention Months: 0                      Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.</p> <p>a. Hardcopy: Microfilm paper copy 2 years after receipt. Destroy paper copy after microfilm has been reviewed and approved.<br/>                     b. Microfilm: Destroy microfilm after 45 years old.</p>  |                                   |   |
| N1-53-01-07-0007 | <p>Title: SPSS-SLGS EARLY REDEMPTION REQUEST-MANUAL &amp; ELECTRONIC INPUTS</p> <p>Title Memo: These are hard copies of forms and correspondence received from State and Local Government Entities, Investment Banking firms, Financial Institutions, Bond Councils, and Resolution Funding Corporations. They are used to request that special purpose securities be redeemed before their established maturity date. SPSS also receives the same information electronically via Internet from SLGSafe users.</p> <p>Form Number: PD F 5377                      Form Series:                      Restrictions: NONE<br/>                     Computer System: SPSS                      Cost Code: 25000<br/>                     Retention Years: 47                      Retention Months: 0                      Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.</p> <p>a. Hardcopy: Microfilm paper copy 2 years after receipt. Destroy paper copy after microfilm has been reviewed and approved.<br/>                     b. Microfilm: Destroy microfilm after 45 years old.<br/>                     c. <del>Electronic files: Destroy 7 years after case is closed.</del></p> |                                   | <p><del>WITHDRAWN</del><br/>                     WITHDRAWN<br/>                     covered by Item 1</p> |

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|-------------------------|---|-----------------------------------|---|
| <p>N1-53-01-07-0008</p> | <p>Title: SPSS-SUBSCRIPTION FOR ISSUE OF TIME DEPOSIT SLGS- MANUAL &amp; ELECTRONIC INPUTS</p> <p>Title Memo: These are subscription request for State and Local Government securities received from State and Local Government Entities, Investment Banking firms, Financial Institutions, Bond Councils, and Resolution Funding Corporations. These forms and correspondence are received by mail and fax. They include but are not limited to forms PD F 4144, PD F 4144-1, PD F 4144-2, letter, and memos. These items supply the data needed to subscribe for purchase of and to issue Special Purpose Securities. SPSS also receives the same information electronically via Internet from SLGSafe users.</p> <p>Form Number: _____ Form Series: _____ Restrictions: NONE<br/>                     Computer System: SPSS Cost Code: 25000<br/>                     Retention Years: 47 Retention Months: 0 Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.</p> <p>a. Hardcopy: Microfilm paper copy 2 years after redemption of securities. Destroy paper copy after microfilm has been reviewed and approved.<br/>                     b. Microfilm: Destroy microfilm after 45 years old.<br/>                     c. <del>Electronic files: Destroy 7 years after case is closed.</del></p> |                                   |   |
| <p>N1-53-01-07-0009</p> | <p>Title: SPSS-SUBSCRIPTION FOR PURCHASE OF DEMAND DEPOSIT SLGS-MANUAL &amp; ELECTRONIC INPUTS</p> <p>Title Memo: These are hard copies of forms and correspondence received from State and Local Government Entities, Investment Banking firms, Financial Institutions, Bond Councils, and Resolution Funding Corporations. They include but are not limited to forms PD F 5237, letters, and memos. These items supply the data needed to subscribe for purchase of Special Purpose Securities. SPSS also receives the same information electronically via Internet from SLGSafe users.</p> <p>Form Number: PD F 5237 Form Series: A COPY Restrictions: NONE<br/>                     Computer System: SPSS Cost Code: 25000<br/>                     Retention Years: 47 Retention Months: 0 Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.</p> <p>a. Hardcopy: Microfilm paper copy 2 years after issuance of securities. Destroy paper copy after microfilm has been reviewed and approved.<br/>                     b. Microfilm: Destroy microfilm after 45 years old.<br/>                     c. <del>Electronic files: Destroy 7 years after case is closed.</del></p>  |                                   | <p><i>WITHDRAWN</i><br/> <i>Covered by Item 1</i></p> <p><i>WITHDRAWN</i><br/> <i>Covered by Item 1</i></p> |

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|------------------|---|-----------------------------------|---|
| N1-53-01-07-0010 | <p>Title: SPSS-REDEMPTION OF DEMAND DEPOSIT SLGS-MANUAL &amp; ELECTRONIC INPUTS</p> <p>Title Memo: These are hard copies of forms and correspondence received from State and Local Government Entities, Investment Banking firms, Financial Institutions, Bond Councils, and Resolution Funding Corporations. They include but are not limited to forms PD F 5238, letters, and memos. These items supply the data needed to redeem Special Purpose Securities. SPSS also receives the same information electronically via Internet from SLGSafe users.</p> <p>Form Number: PD F 5238                      Form Series: A COPY                      Restrictions: NONE<br/>                     Computer System: SPSS                      Cost Code: 25000<br/>                     Retention Years: 47                      Retention Months: 0                      Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.</p> <p>a. Hardcopy: Microfilm paper copy 2 years after redemption of securities. Destroy paper copy after microfilm has been reviewed and approved.<br/>                     b. Microfilm: Destroy microfilm after 45 years old.<br/>                     c. <del>Electronic files: Destroy 7 years after case is closed.</del></p> |                                   |   |
| N1-53-01-07-0011 | <p>Title: SPSS-U.S. MORTGAGE GUARANTY INSURANCE COMPANY TAX &amp; LOSS BONDS-MANUAL INPUTS</p> <p>Title Memo: These are hard copies of forms received from United States Mortgage Guaranty Insurance Companies for the purchase of Tax and Loss Bonds. They include but are not limited to PD F 3871, which supplies the necessary data to subscribe, to purchase and to issue Tax and Loss Bonds.</p> <p>Form Number: PD F 3871                      Form Series:                      Restrictions: NONE<br/>                     Computer System: SPSS                      Cost Code: 25000<br/>                     Retention Years: 7                      Retention Months: 0                      Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.</p> <p>a. Hardcopy: Microfilm paper copy 2 years after receipt. Destroy paper copy after microfilm is reviewed and approved.<br/>                     b. Microfilm: Destroy microfilm after 5 years old.</p>   |                                   | <p>WITHDRAWN<br/>                     covered by Item 1</p> |
| N1-53-01-07-0012 | <p>Title: SPSS-AUTOMATED CLEARING HOUSE-ELECTRONIC INPUTS</p> <p>Title Memo: SPSS electronically receives a daily file from the Automated Clearing House System (ACH) via bulk data. This file contains information about payments rejected by financial institutions for maturity and interests payments due to state and local governments for Special Purpose Securities.</p> <p>Form Number:                      Form Series:                      Restrictions: NONE<br/>                     Computer System: SPSS                      Cost Code: 25000<br/>                     Retention Years: 7                      Retention Months: 0                      Vital Records: <input type="checkbox"/></p>   |                                   |   |

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| N1-53-01-07-0013 | <p>Retention Description: Temporary.<br/>Electronic file: Destroy when 7 years old.</p> <hr/> <p>Title: SPSS-DAILY ACITIVY STATUS REPORT-PAPER REPORT</p> <p>Title Memo: SPSS generates a daily activity status report. This report contains daily information on the purchase, issue, and redemption of Special Purpose Securities.</p> <p>Form Number:                      Form Series:                      Restrictions: NONE<br/>Computer System: SPSS              Cost Code: 25000<br/>Retention Years: 7                      Retention Months: 0              Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.<br/>a. Hardcopy: Microfilm paper copy after 2 years. Destroy paper copy after microfilm is reviewed and approved.<br/>b. Microfilm: Destroy microfilm after 5 years old.</p> |                                   |                                     |
| N1-53-01-07-0014 | <p>Title: SPSS-INTEREST REPORTS-ELECTRONIC OUTPUTS</p> <p>Title Memo: These are reports generated daily by the system reporting on interest earned on Special Purpose Securities. They include but are not limited to Average Interest Report-Miscellaneous, Average Interest Report-SLGS Time, Detailed Interest Accrual Report-Demand, and Detailed Interest Accrual Report-Time.</p> <p>Form Number:                      Form Series:                      Restrictions: NONE<br/>Computer System: SPSS              Cost Code: 25000<br/>Retention Years: 7                      Retention Months: 0              Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.<br/>a. Electronic report file: Destroy when 7 years old.<br/>b. Hard copy: Destroy when obsolete or no longer needed.</p>     |                                   |                                     |
| N1-53-01-07-0015 | <p>Title: SPSS-FUNDS RECEIPT REPORTS-ELECTRONIC OUTPUTS</p> <p>Title Memo: These are reports generated daily by the system showing funds received for each case and total due for each transaction date. They include but are not limited to Case funds comparison Report and Due Date Totals.</p> <p>Form Number:                      Form Series:                      Restrictions: NONE<br/>Computer System: SPSS              Cost Code: 25000<br/>Retention Years: 7                      Retention Months: 0              Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.<br/>a. Electronic report file: Destroy when 7 years old.<br/>b. Hard copy: Destroy when obsolete or no longer needed.</p>  |                                   |                                     |

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| N1-53-01-07-0016 | <p>Title: SPSS-EARLY REDEMPTION CALCULATIONS REPORTS-ELECTRONIC OUTPUTS</p> <p>Title Memo: These are reports generated by the system upon request from the user containing information about early redemption of Special Purpose Securities. They include but are not limited to Early Redemption calculations (Simulated) and Early Redemption Calculations Report.</p> <p>Form Number:                      Form Series:                      Restrictions: NONE<br/> Computer System: SPSS              Cost Code: 25000<br/> Retention Years: 1                      Retention Months: 0              Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.<br/> a. Electronic report file: Destroy when 1 year old.<br/> b. Hard copy: These reports are kept with the early redemption request. See item 7 of this schedule for retention description.</p>   |                                   |                                     |
| N1-53-01-07-0017 | <p>Title: SPSS-FUTURE AND PRIOR ISSUES &amp; PAYMENTS-ELECTRONIC OUTPUTS</p> <p>Title Memo: These are reports generated by the system on a daily, weekly, and monthly basis. These reports contain information on future issues, future payments, and prior payments of Special Purpose Securities. They include but are not limited to Future Issues Daily Report-Subscriptions Amended, Future Issues Daily Report-Subscriptions Received, Future Issues Weekly Summary Report, Future Payments, Future Payments-Monthly Summary Report, and Prior Months Payments.</p> <p>Form Number:                      Form Series:                      Restrictions: NONE<br/> Computer System: SPSS              Cost Code: 25000<br/> Retention Years: 7                      Retention Months: 0              Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.<br/> a. Electronic report file: Destroy when 7 years old.<br/> b. Hard copy: Destroy when obsolete or no longer needed.</p> |                                   |                                     |
| N1-53-01-07-0018 | <p>Title: SPSS-NOTICE OF ASSESSMENT-ELECTRONIC OUTPUTS</p> <p>Title Memo: These are reports generated by the system on a daily basis containing information on Special Purpose Securities that did not issue because funds were not received for them. They include but are not limited to Notice of Assessment.</p> <p>Form Number:                      Form Series:                      Restrictions: NONE<br/> Computer System: SPSS              Cost Code: 25000<br/> Retention Years: 1                      Retention Months: 0              Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.<br/> a. Electronic report file: Destroy when 1 year old.<br/> b. Hard copy: Destroy when obsolete or no longer needed.</p>   |                                   |                                     |





