

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-053-02-001

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

This schedule This schedule is superseded by N1-053-06-005 items 38, 40 and 51, GRS 5.2 item 020 (DAA-GRS-2017-0003-0001), and GRS 3.1 item 051 (DAA-GRS- 2013-0005- 0003)

Date Reported: 8/6/2019

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)	
NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)	
1. FROM (Agency or establishment) <b>BUREAU OF THE PUBLIC DEBT</b>	
2. MAJOR SUBDIVISION SECURITIES OPERATIONS	
3. MINOR SUBDIVISION DIRECT-ACCESS MARKETABLES BRANCH	
4. NAME OF PERSON WITH WHOM TO CONFER <b>Ronda Blake</b>	5. TELEPHONE <b>(304) 480-6019</b>

LEAVE BLANK (NARA use only)	
JOB NUMBER <b>71-053-02-1</b>	
DATE RECEIVED <b>12-10-01</b>	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 <b>3-8-02</b>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>

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 4 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 <b>11/30/01</b>	SIGNATURE OF AGENCY REPRESENTATIVE <b>Vicki Thorpe</b> <i>[Signature]</i>	TITLE <b>Records Officer</b>
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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 GRS OR SUPERSEDED JOB CITATION	10.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)
	<b>See the Attached Sheets</b>		

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

For the Bureau of the Public Debt

November 29, 2001

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
<p>N1-53-02-01-0001</p>	<p>Title: TREASURYDIRECT FEE SYSTEM (TDFeeS) – MASTER FILE</p> <p>Title Memo: TDFeeS was implemented May 19, 2000; and is a client server based system designed to process the annual maintenance fee for each <i>TreasuryDirect</i> investor account that exceeds a specified par value. This system replaces a manual process in which items received relating to or regarding payment of account fees were held in case files and followed the retention description for authority code (N1-53-87-02, 02). The application provides the functionality to bill investors, track receivables, and calculate late charges on established <i>TreasuryDirect</i> accounts. The operational period for TDFeeS is May through October. The master file contains several data tables, which are the investor information tables. These tables contain, but are not limited to, <i>TreasuryDirect</i> account numbers, TDFeeS remittance numbers, taxpayer identification numbers, payment amounts, types of account processing, fees information, investors' names, and comments. There are no electronic e-mails or word processing documents associated with these items.</p> <p>Form Number: _____ Form Series: _____ Restrictions: SBU            Computer System: TDFeeS Cost Code: 63500            Retention Years: 7 <i>or 7</i> Retention Months: 0 Vital Records: <input type="checkbox"/>  <i>or RB Fee BPD</i></p> <p>Retention Description: Temporary.            Investor data tables: Cut off yearly at the beginning of the fee year (May). Destroy 7 years after cut off. Public Debt will hold data on COLD for the life of the system or until obsolete.</p>		
<p>N1-53-02-01-0002</p>	<p>Title: TDFeeS-CASE FILES-INPUTS</p> <p>Title Memo: Information is received from the general public and manually entered into the TDFeeS by personnel at the Federal Reserve Bank of Boston. This information is kept in case files that are maintained at Boston, and includes but is not limited to, phone calls, correspondence, TDFeeS Reports, Fee Assessment Notices (TD 5368), and investor's checks.</p> <p>Form Number: _____ Form Series: _____ Restrictions: SBU            Computer System: TDFeeS Cost Code: FRB            Retention Years: 7 Retention Months: 0 Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.            Cut off files at end of the fiscal year of receipt. Destroy 7 years after cut off.</p>		

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N1-53-02-01-0003	<p>Title: TDFeeS-INITIAL FILES RECEIVED FROM FRB'S-INPUTS</p> <p>Title Memo: FRB Boston and Philadelphia send initial files at the beginning of the fees season (May) these initial files contain, but are not limited to, investor names, <i>TreasuryDirect</i> account numbers, taxpayer identification numbers, account balances, types of accounts, check numbers, 215 voucher numbers, fee amounts, dates received, dates processed, and remarks on fees that have been prepaid from investors' accounts. These files are sent via bulk data or EXCEL spread sheet, which is converted into a file and loaded to TDFees.</p> <p>Form Number:                      Form Series:                      Restrictions: SBU                      Computer System: TDFeeS              Cost Code: 63500                      Retention Years: 7                      Retention Months: 0              Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.                      Initial load files: Cut off after verification that data was entered into TDFeeS. Destroy 7 years after cutoff.</p>		
N1-53-02-01-0004	<p>Title: TDFeeS-PAYMENT FILES RECEIVED FROM FRB'S-INPUTS</p> <p>Title Memo: FRB Philadelphia sends payment files for ACH payments or returned ACH payments daily via bulk data to be entered into TDFees. FRB Boston sends payment files for check payments and returned check payments daily via bulk data to be entered into TDFees. These files are loaded to the investors tables of TDFees and contain, but are not limited to, the following information: remittance numbers, payment amounts, types of payments, voucher numbers, payment dates, total number of payments, and total amount of payments.</p> <p>Form Number:                      Form Series:                      Restrictions: SBU                      Computer System: TDFeeS              Cost Code: 63500                      Retention Years: 3                      Retention Months: 0              Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.                      TDES file: Cut off daily after verification that data was entered into TDFees. Delete 3 years after cut off.</p>		
N1-53-02-01-0005	<p>Title: TDFeeS-OFFSET FILE-OUTPUT</p> <p>Title Memo: This is a bulk data file sent to FRB Philadelphia at the end of the fee season (March/April). This file contains, but is not limited to, information on account numbers of investors' who haven't paid their fees and will have a hold indicator put against their accounts.</p> <p>Form Number:                      Form Series:                      Restrictions: SBU                      Computer System: TDFeeS              Cost Code: 63500                      Retention Years: 3                      Retention Months: 0              Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.                      Offset file: Cut off at the end of the fee season (March/April). Destroy 3 years after cut off.</p>		

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N1-53-02-01-0006	<p>Title: TDFeeS-STATEMENT FILE-OUTPUT</p> <p>Title Memo: This is a bulk data file sent to FRB Philadelphia every 30 days. This file contains, but is not limited to, information on fee assessments for investor account numbers.</p> <p>Form Number:                      Form Series:                      Restrictions: SBU                      Computer System: TDFeeS                      Cost Code: 63500                      Retention Years: 3                      Retention Months: 0                      Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.                      Statement file: Cut off monthly after created. Destroy 3 years after cut off.</p>		
N1-53-02-01-0007	<p>Title: TDFeeS-FEE DATA FILE-OUTPUT</p> <p>Title Memo: This is a bulk data file sent to TDES on a daily basis. This file contains, but is not limited to, investor information concerning fee payments.</p> <p>Form Number:                      Form Series:                      Restrictions: SBU                      Computer System: TDFeeS                      Cost Code: 63500                      Retention Years: 0                      Retention Months: 1.5                      Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.                      Fee data file: Cut off daily after created. Destroy 45 days after cut off.</p>		
N1-53-02-01-0008	<p>Title: TDFeeS-HISTORIC REPORTS AVAILABLE AFTER THE FEE SEASON</p> <p>Title Memo: These reports are created and stored on COLD at the end of the fee season (March/April) and are available for inquiry purposes only. These reports include, but are not limited to, TDFeeS Account Information Report (TDFEESI), TDFeeS Payment Information Report (TDFEESP), and TDFeeS Exception Information Report (TDFEESE).</p> <p>Form Number:                      Form Series:                      Restrictions: SBU                      Computer System: TDFees                      Cost Code: 63500                      Retention Years: <del>0</del> N/A <i>or RB for BPD</i>                      Retention Months: 0                      Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.                      Public Debt will hold in COLD until they are no longer needed.</p>		

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N1-53-02-01-0009	<p data-bbox="264 262 771 289">Title: TDFeeS-SYSTEM DOCUMENTATION</p> <p data-bbox="264 325 1149 388">Title Memo: These include hard copies and electronic copies of the record layouts, contextual information, and user handbook relating to data.</p> <table data-bbox="264 420 1149 514"><tr><td>Form Number:</td><td>Form Series:</td><td>Restrictions: SBU</td></tr><tr><td>Computer System: TDFees</td><td>Cost Code: 63500</td><td></td></tr><tr><td>Retention Years: 99</td><td>Retention Months: 0</td><td>Vital Records: <input type="checkbox"/></td></tr></table> <p data-bbox="264 546 641 577">Retention Description: Temporary.</p> <ul data-bbox="264 577 1230 735" style="list-style-type: none"><li>a. Hard copies: Destroy when superseded, or upon authorized deletion of the related master file or database, or upon the destruction of the output of the system, whichever is the latest.</li><li>b. Electronic copies: Destroy when record keeping copy is produced or when no longer needed for revision and update, whichever is the later.</li></ul>	Form Number:	Form Series:	Restrictions: SBU	Computer System: TDFees	Cost Code: 63500		Retention Years: 99	Retention Months: 0	Vital Records: <input type="checkbox"/>		
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Computer System: TDFees	Cost Code: 63500											
Retention Years: 99	Retention Months: 0	Vital Records: <input type="checkbox"/>										