

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-053-03-008

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 Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

This schedule is superseded by N1 053 06 005 items 4, 65, 66, 67, 72, and 73

Date Reported: 8/1/2019

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)	
NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON DC 20408	
1. FROM (Agency or establishment) <b>BUREAU OF THE PUBLIC DEBT</b>	
2. MAJOR SUBDIVISION Office of Investor Services	
3. MINOR SUBDIVISION Marketable Assistance Branch	
4. NAME OF PERSON WITH WHOM TO CONFER <b>Brian Lallemont</b>	5. TELEPHONE <b>(304) 480-6302</b>

LEAVE BLANK (NARA use only)	
JOB NUMBER	<b>NI-053-03-8</b>
DATE RECEIVED	<b>3/25/03</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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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	ARCHIVIST OF THE UNITED STATES
<b>1-2-03</b>	<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 3/17/2003	SIGNATURE OF AGENCY REPRESENTATIVE <b>Vicki Thorpe</b> <i>Vicki S Thorpe</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 GRS OR SUPERSEDED JOB CITATION	10.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>		

*cc Agency, NIR, NRMWA*

**REQUEST FOR RECORDS DISPOSITION AUTHORITY** For the Bureau of the Public Debt April 28, 2003

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)									
N1-53-03-C-001	<p>Title: SECURITIES &amp; COUPON SHIPMENTS</p> <p>Title Memo: These files contain the documentation of the shipment of retired securities and coupons from the transaction processing area to the retired securities area, both located within Public Debt. The documents include, but are not limited to, shipping advices at the summary and detail levels.</p> <table data-bbox="260 483 1236 577"> <tr> <td>Form Number:</td> <td>Form Series:</td> <td>Restrictions: SBU</td> </tr> <tr> <td>Computer System:</td> <td>Cost Code: 57300</td> <td></td> </tr> <tr> <td>Retention Years: 3</td> <td>Retention Months: 0</td> <td>Vital Records: <input type="checkbox"/></td> </tr> </table> <p>Retention Description: Temporary. Cut off annually. Hold files in office for one year then transfer to off-site storage. Destroy three years after cut off.</p>		Form Number:	Form Series:	Restrictions: SBU	Computer System:	Cost Code: 57300		Retention Years: 3	Retention Months: 0	Vital Records: <input type="checkbox"/>	
Form Number:	Form Series:	Restrictions: SBU										
Computer System:	Cost Code: 57300											
Retention Years: 3	Retention Months: 0	Vital Records: <input type="checkbox"/>										
N1-53-03-C-002	<p>Title: AUDIT COPIES OF ADVICES FROM AUTOMATED SECURITIES SYSTEMS</p> <p>Title Memo: These files contain unbroken copies of system advices. These advices are used to maintain an audit trail of system activity that may support the documents that are kept in the case files. The advices show securities account information and general broadcast messages.</p> <table data-bbox="260 1060 1236 1155"> <tr> <td>Form Number:</td> <td>Form Series:</td> <td>Restrictions: SBU</td> </tr> <tr> <td>Computer System:</td> <td>Cost Code: 57300</td> <td></td> </tr> <tr> <td>Retention Years: 0</td> <td>Retention Months: 6</td> <td>Vital Records: <input type="checkbox"/></td> </tr> </table> <p>Retention Description: Temporary. Cut off weekly. Destroy 6 months after cut off.</p>		Form Number:	Form Series:	Restrictions: SBU	Computer System:	Cost Code: 57300		Retention Years: 0	Retention Months: 6	Vital Records: <input type="checkbox"/>	
Form Number:	Form Series:	Restrictions: SBU										
Computer System:	Cost Code: 57300											
Retention Years: 0	Retention Months: 6	Vital Records: <input type="checkbox"/>										
N1-53-03-C-003	<p>Title: PAYMENT DUE NOTICES</p> <p>Title Memo: These files include notices that are sent to investors in Treasury securities informing them that additional payments are due on their Treasury accounts. The payments are a result of an investor's securities being sold at a premium or interest accruing on their securities prior to issue date. A Payment Due Notice might be generated when an investor submits a tender for Treasury securities or decides to reinvest maturing securities. The contents of these documents are, but not limited to, account number, investor name and address, security title, par amount and the amount due.</p> <table data-bbox="260 1690 1236 1785"> <tr> <td>Form Number:</td> <td>Form Series:</td> <td>Restrictions: SBU</td> </tr> <tr> <td>Computer System:</td> <td>Cost Code: 57300</td> <td></td> </tr> <tr> <td>Retention Years: 1</td> <td>Retention Months: 1</td> <td>Vital Records: <input type="checkbox"/></td> </tr> </table> <p>Retention Description: Temporary. Cut off after receipt. Hold files in office for one month then transfer to off-site storage. Destroy 1 year and 1 month after cut off.</p>		Form Number:	Form Series:	Restrictions: SBU	Computer System:	Cost Code: 57300		Retention Years: 1	Retention Months: 1	Vital Records: <input type="checkbox"/>	
Form Number:	Form Series:	Restrictions: SBU										
Computer System:	Cost Code: 57300											
Retention Years: 1	Retention Months: 1	Vital Records: <input type="checkbox"/>										

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	<p data-bbox="331 289 1157 352">N1-53-03-C-004 Title: CORRESPONDENCE, E-MAILS, TELEPHONE CONVERSATION NOTES &amp; REJECTED TRANSACTIONS</p> <p data-bbox="261 388 1209 604">Title Memo: These files serve as evidence of customer contact. The documents include, but are not limited to, customer letters, copies of incoming e-mail messages, enclosures, copies of forms submitted to request transactions that are subsequently rejected, envelopes, notes from telephone conversations, copies of letters or e-mails sent to customers, returned mail, screen prints of account information from automated systems, and any other related documents received from, sent to, or used in contacting customers.</p> <table data-bbox="261 640 1225 735"> <tr> <td>Form Number:</td> <td>Form Series:</td> <td>Restrictions: SBU</td> </tr> <tr> <td>Computer System:</td> <td>Cost Code: 57300</td> <td></td> </tr> <tr> <td>Retention Years: 1</td> <td>Retention Months: 0</td> <td>Vital Records: <input type="checkbox"/></td> </tr> </table> <p data-bbox="261 766 1225 903">Retention Description: Temporary.                      a. Hard Copy—Cut off annually. Destroy 1 year after cut off.                      b. Electronic mail and word processing files—Delete 6 months after hard copy has been placed in a record keeping system. <i>Revised 4/25/03 BPD R.O.</i></p>	Form Number:	Form Series:	Restrictions: SBU	Computer System:	Cost Code: 57300		Retention Years: 1	Retention Months: 0	Vital Records: <input type="checkbox"/>		
Form Number:	Form Series:	Restrictions: SBU										
Computer System:	Cost Code: 57300											
Retention Years: 1	Retention Months: 0	Vital Records: <input type="checkbox"/>										

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N1-53-03-C-005	<p>Title: CASE FILES</p> <p>Title Memo: These are case files containing documentation for conducting transactions related to Treasury securities and of communications with the owners of Treasury securities and/or their representatives. These transactions include, but are not limited to, new account requests, security transfers, reissues, reinvestments, exchanges and redemptions, including federal estate tax redemptions. Redemptions, include, but are not limited to, redemptions to owners or their representatives or estates, settled with or without administration, regardless of dollar amount. This item also contains certain types of claims cases that are for lost, stolen, missing or destroyed securities. The type of claims cases contained in this item are:</p> <ol style="list-style-type: none"> <li>1. Claims in which the securities were recovered by the owner and no relief was granted.</li> <li>2. Claims in which relief was granted, the securities were retired without credit, and any possibility of double payment by Treasury is eliminated.</li> <li>3. Claims in which the securities are closed in the numerical registers and no relief was granted.</li> </ol> <p>Related documents contained in case files include, but are not limited to, envelopes, Public Debt and Internal Revenue Service forms, associated correspondence, system screen prints and advices, and supporting documentation, including legal evidence such as marriage and death certificates.</p> <p>NOTE: Item N1-53-03-<del>8</del>-006 covers Claims Case Files that do not meet the above criteria. <i>Rev. sc. d 4/25/03 BPD R.O.</i></p> <p>Form Number: _____ Form Series: _____ Restrictions: SBU            Computer System: _____ Cost Code: 57300            Retention Years: 10 Retention Months: 0 Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.            Cut off monthly. Hold files in office for 2 years then transfer to off-site storage.            Destroy 10 years after cutoff.</p>		

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N1-53-03- <del>Q</del> -006	<p data-bbox="258 258 566 289">Title: CLAIM CASE FILES</p> <p data-bbox="258 321 1241 514">Title Memo: These are claim case files containing claims for lost, stolen, missing or destroyed Treasury securities in which the possibility of double payment of the securities exists. Related documents contained in claim case files include, but are not limited to, envelopes, Public Debt and Internal Revenue Service forms, associated correspondence, screen prints and system advices, and supporting documentation, including legal evidence such as marriage and death certificates.</p> <table data-bbox="258 541 1241 640"><tr><td>Form Number:</td><td>Form Series:</td><td>Restrictions: SBU</td></tr><tr><td>Computer System:</td><td>Cost Code: 57300</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="258 672 1241 829">Retention Description: Temporary. Cut off files monthly. Hold in office for 2 years then transfer to off-site storage. Maintain until the securities that were replaced have been recovered and retired without credit and any possibility of double payment by Treasury is eliminated; then transfer to Case Files. Transfer to Federal Records Center is NOT authorized.</p>	Form Number:	Form Series:	Restrictions: SBU	Computer System:	Cost Code: 57300		Retention Years: 99	Retention Months: 0	Vital Records: <input type="checkbox"/>		
Form Number:	Form Series:	Restrictions: SBU										
Computer System:	Cost Code: 57300											
Retention Years: 99	Retention Months: 0	Vital Records: <input type="checkbox"/>										