Schedule Number: NC-053-76-003

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 8/1/2019

ACTIVE ITEMS
These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below are active

SUPERSEDED AND OBSOLETE ITEMS
The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 53a superseded by NC1-053-78-03 / 1a
Item 53c superseded by NC1-053-78-03 / 1b
Item 53d.1 superseded by NC1-053-78-03 / 2
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.

   Tom B. Ellis

7. ITEM NO. 8. DESCRIPTION OF ITEM
   (With Inclusive Dates or Retention Periods)

   COMPREHENSIVE SCHEDULE NUMBER 3, REVISED
   BANK AND INSTITUTION SURVEY

   22. Bank and Institution Reports Files.
       a. Card Files of reporting institutions.
          (1) Pink file cards maintained by state, city and institution.
               \textit{DELETE dispose 6 months after cancellation.}
          (2) White file cards maintained by state, city and institution. Dispose when superseded.
       c. Bank and institution surveys. Dispose after 2 years.
       d. Corporate pension surveys. Dispose after 2 years.
       e. Corporate pension trust reports. Dispose after 2 years.
       f. Reports received from reporting institutions.
          (1) Reports for March, June, September and December. Dispose after 2 years.
          (2) All others. Dispose after 6 months.
7. ITEM NO. | 8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN
--- | --- | --- | ---
g. Minor subject files. Screen semiannually and dispose of material of no further reference value.
h. All other reports. Dispose after 1 year.

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.

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.

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.

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.

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.
### REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

<table>
<thead>
<tr>
<th>ITEM NO.</th>
<th>DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)</th>
</tr>
</thead>
<tbody>
<tr>
<td>53.</td>
<td><strong>DIVISION OF INTERNAL AUDIT</strong></td>
</tr>
<tr>
<td></td>
<td>Internal Audit Files.</td>
</tr>
<tr>
<td></td>
<td>a. Copies of audit reports. Dispose after 4 years.</td>
</tr>
<tr>
<td></td>
<td>b. Audit reference files. Dispose after 4 years.</td>
</tr>
<tr>
<td></td>
<td>c. Audit working papers. Dispose after 4 years.</td>
</tr>
<tr>
<td></td>
<td>d. Status of securities under seal.</td>
</tr>
<tr>
<td></td>
<td>(1) Auditor's copies. Dispose of superseded copies after yearly internal audit.</td>
</tr>
<tr>
<td></td>
<td>(2) All other copies. Dispose when superseded.</td>
</tr>
</tbody>
</table>

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.

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.

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.