

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

*(See instructions on separate page)*

LEAVE BLANK (NARA use only)

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

JOB NUMBER

N1-56-00-3

DATE RECEIVED

06/23/2000

1. FROM (Agency or establishment)  
Department of the Treasury

**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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

2. MAJOR SUBDIVISION  
Under Secretary (Domestic Finance)

3. MINOR SUBDIVISION  
Assistant Secretary (Financial Institutions)

4. NAME OF PERSON WITH WHOM TO CONFER  
Steve W. Milline

5. TELEPHONE  
(202) 622-0790

DATE  
4-4-01

ARCHIVIST OF THE UNITED STATES  
*John W. Carl*

**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 \_\_\_\_ 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  
8/31/00

SIGNATURE OF AGENCY REPRESENTATIVE  
*Steve W. Milline*

TITLE  
Chief, Records Mgt and Resources Branch

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY) <small>etc</small>

*JA 4-12-01*  
*Agency*  
*NIR NUMMO NUMMO*

**Department of the Treasury  
Office of the Secretary  
Under Secretary (Domestic Finance)  
Assistant Secretary (Financial Institutions)**

**OFFICE OF GOVERNMENT SPONSORED ENTERPRISE POLICY**

The Office of Government Sponsored Enterprise (GSE) Policy reports directly to the Deputy Assistant Secretary for Financial Institutions Policy and the Assistant Secretary for Financial Institutions. The Office is responsible for developing, analyzing, and coordinating the Department's policies regarding issues, legislation, and regulations affecting government sponsored enterprises (GSEs) – Fannie Mae, Freddie Mac, the Federal Home Loan Bank System, the Farm Credit System, and Farmer Mac. The Office also supports the Secretary as a director of the Pension Benefit Guaranty Corporation and is responsible for issues involving credit unions and housing finance.

**1. Government Sponsored Enterprise (GSE) Files**

The files consist of all GSE mission related matters, such as data, policy development memos, work papers (such as bill side-by-side comparisons, section-by-section analyses, and other office work products), and final copies of official memos, correspondence, testimony, speeches and reports. These files also include official clearance comments reflecting substantive changes to and development of memoranda, correspondence, reports and testimonies. Typically, such files are sorted by subject (e.g., Fannie Mae, Freddie Mac, Federal Home Loan Banks, Farm Credit System, Farmer Mac, GSEs, credit unions, Pension Benefit Guaranty Corporation), and within each subject, by topic, project, or issue.

**a. Topic, Issue and Project Files**

Disposition: Permanent. Break files at the conclusion of the topic, issue or project. Transfer to the records center one year after break or when no longer needed, whichever is later. Transfer to the National Archives 20 years after break.

**b. Drafts**

Disposition: Temporary. Destroy when no longer needed. Clearance copies should be retained for one year from the date a product is finalized.

**c. Working Papers**

Disposition: Temporary. Destroy when no longer needed for reference.

**2. Office Chronological File**

Copies of outgoing correspondence, original incoming correspondence, and background information, arranged by subject.

Disposition: Temporary. Break file annually. Destroy when 5 years old or no longer needed, whichever is later.

**3. News Clips, Periodicals, Books, Research Articles, Newsletters and Related Material**

Documents accumulated through research in preparation of work assignments and gathered from other resources outside the Office of GSE Policy.

Disposition: Temporary. Destroy when one year old or until no longer needed; whichever is later.

#### **4. 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: Temporary. Destroy/delete within 180 days after the record keeping has been produced.

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

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

### **OFFICE OF FINANCIAL INSTITUTIONS POLICY**

The Office of Financial Institutions Policy reports directly to the Deputy Assistant Secretary for Financial Institutions Policy and the Assistant Secretary for Financial Institutions. The Office is responsible for developing, analyzing, and coordinating the Department's policies regarding issues, legislation, and regulations affecting financial institutions and the federal agencies that regulate or insure financial institutions.

The Office also supports the Secretary as a director of the Securities Investor Protection Corporation and is responsible for the remaining administrative duties of the now eliminated Thrift Depositor Protection Oversight Board. The Office fulfills its responsibilities by preparing briefing materials, issues papers, reports, studies, responses to public inquiries, and congressional testimonies for the Secretary and other senior officials pertaining to financial institutions and financial services and assumes the responsibility for the remaining administrative duties of the now defunct thrift Depository Protection Oversight Board.

#### **5. Office of Financial Institutions Policy Files**

These files consist of all subject-oriented documents and work papers collected or prepared pursuant to the Office's official duties and responsibilities. The files include data, policy development memos, working papers, and final copies of official memos, correspondence, testimony, speeches and reports. These files also include official clearance comments reflecting substantive changes to and development of memoranda, correspondence, reports and testimonies.

Typically, such files are sorted by subject (e.g., financial modernization; deposit insurance; regulations; capital requirements; digital signature; electronic commerce; critical infrastructure protection; consumer privacy; consumer protection; and the Community Reinvestment Act), and within each subject, by topic, project, or issue.

a. Topic, Issue and Project Files

Disposition: Permanent. Break files at the conclusion of the topic, issue or project. Transfer to the records center one year after break or when no longer needed, whichever is later. Transfer to the National Archives 20 years after break.

b. Drafts and extraneous material

Disposition: Temporary. Destroy when no longer needed. Clearance copies should be retained for one year from the date a product is finalized.

c. Working Papers

Disposition: Temporary. Destroy when no longer needed for reference.

**6. Office Chronological File**

Copies of outgoing correspondence, original incoming correspondence, and background information, arranged by subject.

Disposition: Temporary. Break file annually. Destroy when 5 years old or no longer needed, whichever is later.

**7. News Clips, Periodicals, Books, Research Articles, Newsletters and Related Material**

Documents accumulated through research in preparation of work assignments and gathered from other resources outside the Office of Financial Institutions Policy.

Disposition: Temporary. Destroy when one year old or until no longer needed; whichever is later.

**8. 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: Temporary. Destroy/delete within 180 days after the record keeping has been produced.

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

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