

Request for Record's Disposition Authority

(See Instructions on reverse)

Leave Blank (NARA Use Only)

To National Archives and Records Administration (NIR)
Washington, DC 20408

Number
NI-056-09-4

1 From (Agency or establishment) Department of the Treasury
Departmental Offices

Date Received
6/5/09

2 Major Subdivision Office of the Under Secretary
for Domestic Finance

Notification to Agency
In accordance with the provisions of 44 USC 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

3 Minor Subdivision Office of Financial Stability

4 Name of Person with whom to confer
Evangelina C. Wimbush-Jeffrey

5 Telephone (include area code)
(202) 622-6120

Date
06/02/09

Archivist of the United States
[Signature]

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 8 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 has been requested

Signature of Agency Representative

Title

Date (mm/dd/yyyy)

Evangelina C. Wimbush-Jeffrey

DO Records Officer

06/02/2009

Item Number	8 Description of Item and Proposed Disposition	9 GRS or Superseded Job Citation	10 Action taken (NARA Use Only)
	<p>New Item:</p> <p>Office of Financial Stability: Troubled Asset Relief Program (TARP)</p> <p>Description:</p> <p>On October 3, 2008, President George W. Bush signed into law the Emergency Economic Stabilization Act of 2008, (Public Law 110-343). This act established:</p> <p>The Troubled Asset Relief Program (TARP) was established to purchase, and to make and fund commitments to purchase, troubled assets from any financial institution, on such terms and conditions as are determined by the Secretary of the Department of the Treasury, in accordance with the Emergency Economic Stabilization Act of 2008 and the policies and procedures developed and published by the Secretary of the Department of the Treasury.</p> <p>Background:</p> <p>The purpose of this Act is (1) to immediately provide authority and facilities that the Secretary of Treasury can use to restore liquidity and stability to the financial system of the United States; and (2) to ensure that such authority and such facilities are used in a manner that (a) protects home values, college funds, retirement accounts, and life savings; (b)</p>		

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<p>preserves homeownership and promotes jobs and economic growth, (c) maximizes overall returns to the taxpayers of the United States, and (d) provides public accountability for the exercise of such authority</p> <p>1 Capital Purchase Program</p> <p>On October 15, 2008, Treasury announced a voluntary Capital Purchase Program to encourage U S Financial institutions to build capital to increase the flow of financing to U S businesses and consumers and to support the U S economy</p> <p>(a) Application for TARP Capital Purchase Program (CPP)</p> <p>(1) Application documents for public institutions</p> <p>Includes application guidelines, securities purchase agreement form of letter agreement, form certificate of designation (cumulative for public issuer), form certificate of designation (non-cumulative for public issuer), forms of warrant, Securities and Exchange-Financial Accounting Standards Board (SEC-FASB) letter on warrant accounting, and term sheet</p> <p>Disposition PERMANENT Cut off file at the end of calendar year in which case is closed Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p> <p>(2) Application documents for privately held institutions</p> <p>Includes securities purchase agreement, form of letter Agreement, standard preferred certificate of designation (cumulative for private issuer), standard preferred certificate (non-cumulative for private issuer), warrant preferred certificate for designation (cumulative for private issuer), warrant preferred certificate of designation (non-cumulative for private issuer, private warrant-UST, and term sheet</p> <p>Disposition PERMANENT Cut off file at the end of calendar year in which case is closed Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p> <p>(3) Application documents for S corporations</p>		

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<p>Includes term sheet</p> <p>Disposition PERMANENT Cut off file at the end of calendar year in which case is closed Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p> <p>(b) Making Home Affordable</p> <p>Includes summary of guidelines, modification program guidelines</p> <p>Disposition PERMANENT Cut off file at the end of calendar year in which case is closed Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p> <p>2 Targeted Investment Program (TIP)</p> <p>This program was created to stabilize the financial system by making investments in institutions that are critical to the functioning of the financial system This program focuses on the complex relationships and reliance of institutions within the financial system Investments made through the TIP seek to avoid significant market disruptions resulting from the deterioration of one financial institution than can threaten other financial institutions and impair broader financial markets and pose a threat to the overall economy</p> <p>Case files include applications, forms, contract terms, and conditions of Treasury investment</p> <p>Disposition PERMANENT Cut off file at the end of calendar year in which case is closed Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p> <p>3 Automotive Industry Financing Program</p> <p>This program was established to prevent a significant disruption of the American automotive industry that poses a systemic risk to financial market stability and will have a negative effect on the real economy of the United States</p>		

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<p>Case files include applications, restructuring plan, restructuring plan summary, cover letter, and contract terms</p> <p>Disposition. PERMANENT Cut off file at the end of calendar year in which case is closed Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p> <p>4 Systemically Significant Failing Institutions Program (SSFI) and Determination of Status</p> <p>This program was established to provide stability and prevent disruptions to financial markets from the failure of institutions that are crucial to the functioning of the nation's financial system</p> <p>Case file includes applications, forms, terms, and conditions of Treasury investment in the troubled assets of a systemically failing institution</p> <p>Disposition PERMANENT Cut off file at the end of calendar year in which case is closed Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p> <p>5 Consumer and Business Lending Initiative (CBLI)</p> <p>The CBLI program was established to improve credit market conditions for consumer and businesses by enabling greater credit availability and lower interest rates on loans In turn, improved credit market conditions will mitigate the impact of any further economic contraction and will further stabilize financial markets In addition, improved credit market conditions will strengthen the economy and protect American jobs, savings, and retirement security</p> <p>Case file includes applications, forms, terms, and conditions of Treasury investment in the troubled assets of a systemically failing institution</p> <p>Disposition PERMANENT Cut off file at the end of calendar year in which case is closed Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p> <p>6 Capital Assistance Program</p>		

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<p>The Capital Assistance Program (CAP) was established to ensure the continued ability of U S financial institutions to lend to creditworthy borrowers in the face of a weaker than expected economic environment and larger than expected potential losses The CAP consists of two core elements The first, which is a supervisory exercise, is forward-looking capital assessment to determine whether any of the major U S banking organizations need to establish an additional capital buffer during this period of heightened uncertainty The second is access for qualifying financial institutions to contingent common equity provided by the U S government as a bridge to private capital in the future</p> <p>Case file includes applications, program motivation and objectives, forward-looking capital assessment, CAP contingent common capital, program design elements, and term sheet</p> <p>Disposition PERMANENT Cut off file at the end of calendar year in which case is closed Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p> <p>7 Records Common to Most Office of Financial Stability Programs</p> <p>(a) Procurement Authorities and Procedures</p> <p>Includes procurement contracts and agreements, authorities, conflict of interest mitigation procedures, asset manager selection process, solicitation of financial agents, fed biz opps, and small business participation</p> <p>Disposition PERMANENT Cut off file at the end of calendar year Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p> <p>(b) Regulations and guidance</p> <p>Includes tax guidance, executive compensation guidance, and insurance program for troubled assets</p> <p>Disposition PERMANENT Cut off file at the end of calendar year Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p>		

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<p>(c) Reports (External and Internal)</p> <p>Includes transaction, tranche, program descriptions, section 102 and congressional reports</p> <p>Disposition PERMANENT Cut off file at the end of calendar year. Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program.</p> <p>(d) Audits</p> <p>Includes Records relating to planning, scheduling, and administration of TARPs internal audit program Files include annual audit plans, audit schedules, auditor rosters, auditor qualifications records, audit report logs, status reports, and related correspondence</p> <p>Disposition PERMANENT Cut off file at the end of calendar year Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program.</p> <p>(e) Legal Files</p> <p>Includes complete documentation on litigation or the legal position of the TARP Includes correspondence, memorandums, periodic narrative reports, and similar materials which relate to a specific action, event, person, place, project or other subject and provide complete documentation of TARP activities from initiation to conclusion</p> <p>Disposition PERMANENT Cut off file at the end of calendar year Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p> <p>(f) Strategic Planning</p> <p>Includes files relating to development, implementation, reporting, and analysis of the TARPs strategic goals and objectives Files contain correspondence, plans, reports, and other documentation on the TARPs Strategic Plan, annual performance plans, quarterly performance data and other documentation on performance measures and</p>		

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<p>accomplishments</p> <p>Disposition PERMANENT Cut off file at the end of calendar year Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p>	<p><i>withdrawn see NI-56-09-05 item 1a.</i></p>	
<p>(g) Performance and Risk Management</p> <p>Includes enterprise risk management, performance management, reputation risk, and credit risk files</p> <p>Disposition PERMANENT Cut off file at the end of calendar year Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p>		
<p>(h) Press Releases</p> <p>Includes official press releases created by TARP</p> <p>Disposition PERMANENT Cut off file at the end of calendar year Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p>	<p><i>withdrawn See NI-56-03-10 item 8A</i></p>	
<p>(i) Meeting Minutes</p> <p>Consists of transcripts documenting the discussions and decisions made by the Financial Stability Oversight Board during convened meetings</p> <p>Disposition PERMANENT Cut off file at the end of calendar year Maintain all files at Treasury Transfer to the National Archives and Records Administration upon termination of program</p>	<p><i>withdrawn Fed Reserve Bd. committee</i></p>	
<p>(j) Correspondence</p> <p>Incoming and outgoing correspondence not associated with permanent case files or other programs or applications, internal administrative memoranda, and other documents of a routine or recurring nature This includes requests for information and unsolicited letters and email from citizens</p>		

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<p>Disposition TEMPORARY Cut off file at the end of calendar year Maintain all files at Treasury Destroy when 2 years old or when no longer needed for agency business, whichever is later</p> <p>8 Electronic Mail and Word Processing System Copies</p> <p>Electronic copies of record that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by 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</p> <p>(a) Copies that have no further administrative value after the record keeping 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</p> <p>Disposition Destroy/delete within 180 days after the Recordkeeping copy has been produced</p> <p>(b) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy</p> <p>Disposition Destroy/delete when dissemination, revision, or updating completed</p>	<p><i>withdraw</i></p> <p><i>see N1-56-03-10 item 1c</i></p> <p><i>GRS 22/13+14</i></p>	