

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>N1-104-99-1</i>	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>August 18, 1999</i>	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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  United States Mint			
3 MINOR SUBDIVISION  Office of Management Services			
4 NAME OF PERSON WITH WHOM TO CONFER  George F. Bamford	5 TELEPHONE <i>202-874-5972</i> <i>354-7737</i>	DATE <i>7-6-00</i>	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 <u>4</u> 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,  <input type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input checked="" type="checkbox"/> has been requested			
DATE <i>8/12/99</i>	SIGNATURE OF AGENCY REPRESENTATIVE George F Bamford <i>[Signature]</i>	TITLE Records Management Officer	
7 ITEM NO.	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	UNITED STATES MINT AUDIT RECORDS (SEE ATTACHED)  <i>Pen and ink charges per approval of George Bamford on 4/7/00</i> <i>M. Donovan, NWML</i>  <i>Agency Number Number NR</i>		

ITEM NO.	DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	GRS OR SUPERSEDED JOB CITATION	ACTION TAKEN (NARA USE ONLY)
<b>AUDIT RECORDS</b>			
Records consist of case files documenting all types of audit activities for the United States Mint. They include recurring audits such as the annual settlement and gold audits, and they also include non-recurring audits such as an audit of a coin program or contract or a particular Mint activity. Audits may be conducted by Mint personnel, the Office of the Inspector General, the General Accounting Office, other Government agencies or by an outside contractor/auditing firm.			
1.	<p><b>ANNUAL SETTLEMENT RECORDS.</b> Records Associated with Annual Settlements conducted at each U.S. Mint Facility. Settlement Records document the physical inventory of all monetary assets in the custody of each U.S. Mint Facility, and verify that all assets are recorded in the facility's Financial Records as of the Settlement Date. A separate, complete Settlement File should be maintained for each U.S. Mint Facility. The Settlement File may include such categories as, Table of Contents, Chairperson's Settlement Inventory Report to the Director and any Optional Administrative Letters; Inventory of Cash Assets (MF 1068), Inventory of Monetary Assets (MF 1068A); Transcript of Assets Account Balances (MF 976), Statement of Metal Operated Upon (MF 901; C, M, N, etc.); Operating Division's Explanation of Surpluses and Wastage, Confirmation letters and reconciliation of Accounts of Government-owned Metals held by Private Contractors, Cashier's Daily Statements (MF 231), Statement of Assets and Liabilities (TFS 5693), Delivered Assets Excluded from Settlement (MF 9050), Monthly Report of Platinum Group Medals, Listing of Outstanding Temporary Asset Transfers (MF 601 and Copies of Source Documents including confirmation letters, Settlement Delivery Certificate (MF 986); Official Joint Seal Inspection Report (MF 977), Agency Seal Inspection Report (MF 1090), Gridlock Control Register, Correspondence, Telegrams and other similar or related documents; and any additional requirements set forth in current U.S. Mint Settlement Directives or Procedures.</p> <p><b>a. COMPILING/MONITORING OFFICE COPY.</b></p> <p>Disposition <b>PERMANENT.</b> Cut off File during the Fiscal Year in which the final settlement findings are closed and approved. Send to the Records Center 3 years after cutoff. Transfer to the National Archives when 30 years old</p> <p><b>b. ACTION COPIES MAINTAINED AT FIELD FACILITIES AND OTHER OFFICES.</b></p> <p>Disposition <b>TEMPORARY</b> Cut off at end of fiscal year in which final settlement findings are closed and approved. Destroy 2 years after cutoff. Note: Information copies may be destroyed when no longer needed for reference.</p> <p><b>c. ELECTRONIC VERSION</b> of Settlement Records created by Electronic Mail, Word Processing and <del>Electronic Spreadsheet Applications</del> may be deleted only after file copy is generated, and when no longer needed for reference and updating</p>	<p>NC1-104-80-2, ITEM #14</p> <p>NC1-104-79-1, Item 47</p>	

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2.	<p><b>ANNUAL GOLD AUDIT RECORDS.</b> Records associated with Annual Gold Audits conducted at U S Mint Facilities in which United States owned Gold bars are stored in vault compartments controlled under deep storage (Joint Seal) A Separate Gold Audit File should be maintained for each U S. Mint Facility that stores Gold. The Gold Audit File should meet all requirements set forth in current U S. Mint Directives and Financial Analysis and Review Division Policies.</p> <p><b>a. COMPILING/MONITORING OFFICE COPY.</b></p> <p>Disposition. <b>PERMANENT.</b> Cut off during Fiscal Year in which final audit findings are closed and approved. Send to the Records Center 3 years after cutoff Transfer to the National Archives when 30 years old</p> <p><b>b. ACTION COPIES MAINTAINED IN OTHER OFFICES.</b></p> <p>Disposition: <b>TEMPORARY.</b> Cut off file during the fiscal year in which final audit findings are closed and approved Destroy 2 years after cutoff</p> <p><b>c. ELECTRONIC VERSION</b> of Gold Audit records created by Electronic Mail, Word Processing <del>and Electronic Spreadsheet Applications</del> may be deleted only after file copy is generated, and when they are no longer needed for reference and updating</p>	<p><del>U S MINT SCHEDULE NC1-104-80-2, Item 14</del></p> <p><i>ANNUAL GOLD AUDIT RECORDS</i></p>	
3.	<p><b>a. BULLION AUDITS:</b> Audits conducted within Bullion Accounting Office. Records may include Audits of Bullion Inventories, Bullion Specific Contracts, or Bullion Program Implementation/ Procedures. Note. Does not include Annual Settlement and Gold Audits covered elsewhere in this Schedule</p> <p>Disposition: <b>TEMPORARY</b> Cut off File during the Fiscal Year in which the final audit findings are closed and approved Send to the Records Center 3 years after cutoff. Destroy 20 years after cutoff.</p> <p><b>b. ELECTRONIC VERSIONS</b> of records created by word processing, e-mail <del>or spreadsheet applications</del> may be deleted after file copy is generated and they are no longer needed for updating or reference</p>	<p>U S Mint Schedule -NC1 -104-080-2, Item #1</p>	

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4. a	<p><b>JOINT SEALING RECORDS.</b> Official Joint Seal Records documenting the placement and removal of Seals from Deep Storage Vaults and Compartments, Official Joint Seals (after removal from compartment or vault) and Corresponding signature cards</p> <p>Disposition: <b>TEMPORARY</b> Destroy when no longer needed for reference or administrative purposes. Authority to destroy must be obtained from the U S Mint Office of Protection. Transfer to a Records Center is not authorized.</p>	NC1-104-81-1, Item 2 and NC1-104-80-2, Item 16	
b	<p><b>ELECTRONIC VERSION</b> of Joint Sealing Records created in Electronic Mail, <del>Spreadsheets</del> and Word Processing Applications may be deleted when File copy is generated or when no longer needed for reference or updating</p>		
5. a	<p><b>ANNUAL U.S. MINT FINANCIAL STATEMENT &amp; OIG AUDIT</b> Annual U S. Mint Financial Statement prepared by the Office of Finance and the Audit of the Statement by or under the auspices of the Office of the Inspector General. File should include final copy of Financial Statement and Audit Findings</p> <p>Disposition <del>PERMANENT</del> <sup>TEMPORARY</sup> Cut off file during the Fiscal Year in which Final Audit recommendations are closed Send to the Records Center 3 years after cutoff. <del>Transfer to the National Archives</del> <sup>DESTROY</sup> in five year blocks with newest record being 15 years old</p>		
b	<p><b>ELECTRONIC VERSIONS</b> of records created by word processing, e-mail and <del>spreadsheet applications</del> may be deleted when no longer needed for updating or reference</p>		
6. a	<p><b>U.S. MINT MANAGEMENT/OPERATIONS AUDIT FILES.</b> Audits conducted of United States Mint Operations. Included may be audits of U S Mint Policies, Practices, Procedures and Information Support Systems Audits may be conducted internally, by the Office of the Inspector General, the General Accounting Office or by an outside Contractor/Auditing firm</p> <p>Disposition. <b>TEMPORARY.</b> Cut off Final Audit Report and Supporting Documentation during the Fiscal Year in which the Final Audit Recommendations are closed. Send to the Records Center 3 years after cutoff Destroy 7 years after cutoff</p>	NC1-104-80-2 Item #15 b.	
b.	<p><b>ELECTRONIC VERSIONS</b> created in word processing, e-mail, or <del>spreadsheet applications</del> may be deleted after file copy is generated and they are no longer needed for updating or reference.</p>		

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7.	<p><b>a. U.S. MINT PRODUCT PROGRAM AUDITS.</b> Random Audits (Apart from Annual Settlement and Gold Audits) conducted on U S Mint Numismatic Coin, Medal and other U S Mint products programs.</p> <p>Disposition <b>PERMANENT.</b> Cut off Final Audit Report and Supporting Documentation during the Fiscal Year in which Final Audit recommendations are closed Send to the Records Center 3 years after cutoff Transfer to the National Archives 15 years after cutoff.</p> <p><b>b. ELECTRONIC VERSIONS</b> of Audit Records created in Electronic Mail, Word Processing and <del>Electronic Spreadsheet Applications</del> may be deleted only after file copy is generated, and when they are no longer needed for reference or updating</p>		
8.	<p><b>CONTRACT AUDITS.</b> Audits of U S. Mint Contracts</p> <p><b>a.</b> Disposition <b>TEMPORARY.</b> Place Final Audit Report and Supporting Documentation with the corresponding Contract File when the Final Recommendations of the Audit are closed. (In accordance with GRS the contract file containing the audit report and related documentation will be destroyed 6 years and 3 months after final payment is made )</p> <p><b>b. ELECTRONIC VERSIONS</b> of records created in word processing, e-mail or <del>spreadsheet applications</del> may be deleted when no longer needed for updating or reference.</p>		
9.	<p><b>a. AUDITING GENERAL CORRESPONDENCE FILES.</b> Consists of subjective general correspondence pertaining to auditing at the United States Mint and would not be suitable for filing in specific auditing case files Records include items that refer to auditing/procedures in general and not to a specific audit.</p> <p>Disposition: <b>TEMPORARY</b> Cut off at the end of the fiscal year and destroy three years after cutoff</p> <p><b>b. ELECTRONIC VERSIONS</b> of records created in word processing, e-mail or <del>spreadsheet applications</del> may be deleted when no longer needed for updating or reference</p>		