

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO <b>GENERAL SERVICES ADMINISTRATION</b> <b>NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408</b>		JOB NO <b>N1-425-86-1</b>	DATE RECEIVED <b>3-28-86</b>
1 FROM (Agency or establishment) <b>Department of Treasury (Financial Management Service)</b>		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION <b>Federal Finance, Working Capital Group</b>		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 if no records are proposed for disposal, the signature of the Archivist is not required.	
3 MINOR SUBDIVISION <b>Funds Flow Division (Formerly Cash Management Ops. Staff)</b>		DATE <b>3-3-87</b>	ARCHIVIST OF THE UNITED STATES <i>Frank A. Burke</i>
4 NAME OF PERSON WITH WHOM TO CONFER <b>Delores Thurston</b>	5 TELEPHONE EXT <b>5300 436-5467</b>		
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 \_\_\_\_\_ 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence  is attached, or  is unnecessary

B DATE	C SIGNATURE OF AGENCY REPRESENTATIVE	D TITLE
4-1-86	<i>Delores Thurston</i>	management Assistant

7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
	<p><u>Funds Flow Division (FFD)</u></p> <p>The FFD is responsible for development, implementation, and monitoring of all Government collection systems. The staff establishes policy and procedures or guidelines in this area as well as entering into agreements with financial institutions to provide collection services to government program agencies. FFD is also involved in the bank risk program, which also involves collateral operations to protect government funds on deposit with the financial institutions. At the present time, the FFD is involved in the following programs:</p> <ul style="list-style-type: none"> <li>Federal Tax Deposit/Treasury Tax and Loan (FTD/TT&amp;L)</li> <li>Federal Reserve Bank (FRB) Depository Relationships</li> <li>State/Federal Equity Program</li> <li>Payment Policy</li> <li>Imprest Cashier Policy</li> <li>Treasury General Accounts (TGA) Operations</li> <li>International Banking</li> <li>Electronic Funds Transfer (EFT) Collections</li> <li>Bank Risk Program</li> </ul>	<p>NCI-425-78-1</p> <p>Items # 247 &amp; 248</p>	

*3/5/87 FMS NCA-WNTR*

All changes to this proposed schedule have been approved by:

*Paul West* 11/12/86 NARA appraiser date

*Delores Thurston* 12/4/86 Agency representative date

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
1.	<p>Collateral Operations Treasury Limited Depository/Cash Concentration System (TLD/CCS) Treasury Automated Compensation System (TACS)</p> <p>01a. <u>System/Program Development and Implementation</u></p> <p><u>Record/Subject Content</u> - Systems design, development, implementation, monitoring, procedures, guidelines, regulations, problem definition, project description, staff assignments, start up and progress schedules, RFP's, contracts with consultants and service groups, equipment specifications and acquisition schedules, system test reports, development and presentation of work shops, project status reports, and notices of project completion.</p> <p><u>Arrangement</u> - Alphabetically by project name, then alphabetically by subject within project.</p> <p><u>Disposition</u> - Break file upon completion of project. Retain in office 2 years, then transfer to the Washington National Records Center. <del>Offer to the National Archives</del> <u>Destroy Archives</u> 10 years after file break.</p>	NCI-425 78-1  Comp. Sch. 247-	
2.	<p>01.1 <u>Bank Folders</u></p> <p><u>Record/Subject Content</u> - a separate folder will be made up for each bank, for example, if we have a TGA account with XYZ bank, Anchorage Alaska, and also have a lockbox and TLD with the same bank, the same folder would contain all information for all three systems. The file will include requests to designate the bank as a depository, the actual designation of the bank as a depository, Memorandums of Understanding, letters of agreement, contracts, notice letter, Placement of Time Balance Accounts,</p>	248	

115-203

Four copies, including original, to be submitted to the National Archives

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
3.	<p>Transcripts of Account of U.S. Depository (TUS-18), Receipt for forwarding Depository (TFS-16), Revocation of Authority to Maintain Account, TFS-5910, Quarterly Analysis of U.S. Treasury Time Deposits, TFS-5911, Monthly Analysis Deposits, general correspondence, and bank review report (depository review analysis).</p> <p><u>Arrangement</u> - Alphabetically by State, City, and bank.</p> <p><u>Disposition</u> - Transfer to inactive file upon termination of agreement. Keep in office one additional year, then send to the Washington National Records Center. Destroy 10 years after terminated agreement.</p> <p>01.2 <u>Bank Collateral Folders</u></p> <p><u>Record/Subject Content</u> - Collateral Agreement (BA 5902), Request to Bank to pledge Collateral (BA 5900), FRB acceptance or release of securities as collateral (Form 439), and collateral correspondence, and Placement of Time Balance Accounts letter.</p> <p><u>Arrangement</u> - Alphabetically by State, City and bank.</p> <p><u>Disposition</u> - Transfer to inactive file upon termination of depository agreement keep in office one additional year, then send to the Washington National Records Center. Destroy 10 years after termination of agreement.</p>		
4.	<p>02. <u>Foreign Bank Folders</u></p> <p><u>Record/Subject Content</u> - Request to handle banking at or for a U.S. Government installation or facility, resolution of problems or clarification of misunderstanding, Authorization to Maintain accounts, reports on condition of services, Revocation of Authority to Maintain Account, Statement of Activity in Treasury General Account (TFS 5907).</p>		

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7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
5.	<p>03. <u>Domestic Government Facility - Operations Files</u></p> <p><u>Arrangement</u> - Alphabetically by country, name of bank, city, base, installation, or agency.</p> <p><u>Disposition</u> - Transfer to inactive file upon termination of agreement. Keep in office one additional year, then transfer to the Washington National Records Center. Destroy 10 years after termination of agreement.</p> <p><u>Record/Subject Content</u> - Correspondence with Government installation officials and local banks relative to the establishment and operation of base banking facilities.</p> <p><u>Arrangement</u> - Alphabetically by State, then name of base.</p> <p><u>Disposition</u> - Transfer to inactive file upon termination of banking service. Keep in office one additional year, then send to the Washington National Records Center. Destroy 10 years after termination of agreement.</p>		
6.	<p>04. <u>Rate Letters</u></p> <p><u>Record/Subject Content</u> - Semi-annual standard form letter - Rate on TGA Account Balance/Time Balance (used in TFS 5901). Earning rate to be used in computing the value of balances to compensate banks. Bank mailing lists.</p> <p><u>Arrangement</u> - By year, month of release.</p> <p><u>Disposition</u> - Break file at the end of each year. Retain in office. Destroy six (6) years after file break.</p>		

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7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
7.	<p>05. <u>Deposit Reconciliations - TGA Transaction File</u></p> <p><u>Record/Subject Content</u> - Monthly printout by trace date, bank number, lot, symbol, TC, confirm date, trans date, CD number, amount.</p> <p><u>Arrangement</u> - By year, then month.</p> <p><u>Disposition</u> - Break file at the end of the year. Keep in office one additional year, then send to the Washington National Records Center. Destroy 5 years after file break.</p>		
8.	<p>06. <u>Deposit Reconciliations - Preliminary Register</u></p> <p><u>Record/Subject Content</u> - Monthly printout by trace date, bank ABA, transtype, lot, symbol, TC, confirm date, CD number, amount.</p> <p><u>Arrangement</u> - By year, then month.</p> <p><u>Disposition</u> - Break file at the end of the year. Keep in office one additional year, then send to the Washington National Records Center. Destroy six (6) years after file break.</p>		
9.	<p>07. <u>5910's Analysis of U.S. Treasury Time Deposits/5911's</u></p> <p><u>Subject/Record Content</u> - Copies of 5910's and 5911's - Quarterly/Monthly Analysis of U.S. Treasury Time Deposits, U.S. Treasury General Accounts and the analysis forms used by Lockbox, TLD, concentrators and any other system (Commodity Credit Corporation).</p> <p><u>Arrangement</u> - By 2 year periods, then alphabetically by state, city, bank.</p> <p><u>Disposition</u> - Break file every 2 years. Keep in office one additional year, then send to the Washington National Records Center. Destroy six (6) years after file break.</p>		

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10.	<p>08. <u>Agency Cross Reference File.</u></p> <p><u>Record (Subject Content)</u> - Duplicate copy of all correspondence with any agency.</p> <p><u>Arrangement</u> - By Department, agency, and chronologically.</p> <p><u>Disposition</u> - Break file at the end of each year. Retain in office. Destroy one year after file break.</p>		
11.	<p>09. <u>Treasury Automated Compensation System Analysis</u></p> <p><u>Record/Subject Content</u> - Printout of Treasury Limited Account Analysis Statement, Compensation Summary Report, Depository Daily Activity Listing, Depository Compensation History Report, Management Information Summary Report. All records relating to this system are maintained and retained by the concentrator bank or sub-contractor. Statements are mailed monthly to account bank. Discrepancies are reported to concentrator banks within 45 days and resolved within an additional 45 days by the concentrator.</p> <p><u>Disposition</u> - Break file at the end of each year. Destroy 5 years after file break.</p> <p>The Treasury Automated Compensation System (TACS) records will be processed by the Mercantile Trust Company in St. Louis, Missouri. The information will be maintained on-line for 60 days, off-line (secondary storage) for 16 months, then sent to Funds Flow. Off-line retention at the concentrator's sub-contractor may be extended as required by Treasury.</p>		

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