

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)	
NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON DC 20408	
1. FROM (Agency or establishment) BUREAU OF THE PUBLIC DEBT	
2. MAJOR SUBDIVISION Office of Investor Services	
3. MINOR SUBDIVISION Investor Assistance Center	
4. NAME OF PERSON WITH WHOM TO CONFER Brian Lallemond	5. TELEPHONE (304) 480-6302

LEAVE BLANK (NARA use only)	
JOB NUMBER	N1-053-03-7
DATE RECEIVED	3/25/03
NOTIFICATION TO AGENCY In accordance with 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
DATE 7-2-03	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>2</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 checked="checked" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE 3/17/03	SIGNATURE OF AGENCY REPRESENTATIVE Vicki Thorpe <i>[Signature]</i>	TITLE Records Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See the Attached Sheets <i>cc Agency, DR</i>		

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For the Bureau of the Public Debt

March 13, 2003

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
N1-53-03-B-0001	<p>Title: BATS - Master File</p> <p>Title Memo: The BATS (Bureau Automated Tracking System) application is designed to consolidate customer files and track requests. It creates and maintains electronic customer case files resulting from information received from customer requests. It also tracks the location of the physical file, the person to whom the case is assigned, and the work being done relating to the customer and the request. All customer requests result in the establishment of an electronic record. BATS is used by several offices and has replaced several applications that were being used for case file and customer service tracking. The following systems have been replaced DCS Case Tracking Automated System N1-53-96-04, 0053, Global N1-53-96-04, 0074, Case File Control System N1-53-96-04, 0083.</p> <p>The master file resides on the mainframe DB2 tables and contains the name, state, and TIN of any individual requesting information concerning or transactions involving Treasury securities. It tracks the correspondence received and maintains a history file of each action taken. Information is obtained from the investor's correspondence and entered into the system by clerks, customer service specialists, and supervisors. The system does not provide data or receive data from any other system and has no relationship to other record processes.</p> <p>Form Number: Form Series: Restrictions: None Computer System: BATS Cost Code: 542 Retention Years: 10 Retention Months: Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.</p> <p>a. Case File Data Table—Cutoff based on creation date. Delete cases over 10 years old or when no longer needed for business or legal needs.</p> <p>b. Request History Log Table—Cutoff based on creation date. Every 18 months delete data over 18 months old.</p>		<p>item 16 Superseded by: N1-053-06-005 item 70 DATE (MM/DD/YYYY): 04/02/2007</p>
N1-53-03-B-0002	<p>Title: BATS - Input Documents</p> <p>Title Memo: Input data is obtained from the investor's correspondence and entered into the system by clerks, customer service specialists, and supervisors. It contains the name, state, and TIN of any individual requesting information concerning or transactions involving Treasury securities. It tracks the correspondence received and maintains a history file of each action taken. The hardcopy documents are filed in existing record keeping systems approved under authority numbers N1-53-91-02; NC1-53-82-02; N1-53-86-01; and N1-53-87-02. There are no additional authorities needed.</p> <p>Form Number: Form Series: Restrictions: Computer System: Cost Code: Retention Years: Retention Months: Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary.</p> <p>These are covered under existing authorities N1-53-91-02; NC1-53-82-02; N1-53-86-01; and N1-53-87-02. There are no additional authorities needed.</p> <p>Delete hardcopy documents seven years after entered into system. BPD RO 4/22/03</p>		

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N1-53-03-B-0003	<p>Title: BATS – Output Documents</p> <p>Title Memo: There are two groups of output documents.</p> <ol style="list-style-type: none">1. Documents that can be recreated—The data for these documents are on the data table and are unaltered until the data is removed according to Item One of this schedule. Hardcopies of these documents are filed in case files or employee's performance file (GRS-1, 18a; GRS-1, 18b; and GRS-1, 23a(5)).2. Documents that cannot be recreated—These documents are used for tracking the flow of cases and their status on a daily basis similar to GRS 23, item 8 but specific to program records. The documents include but are not limited to CSS Purge, Customer by Place, Physical Customer File Summary, Request by Place, Request Past Due—Assigned Work, Request Past Due—Unassigned Work, and Unassigned Requests by Place. <p>Form Number: _____ Form Series: _____ Restrictions: _____ Computer System: _____ Cost Code: _____ Retention Years: 2 Retention Months: 0 Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary. Cutoff based on creation date. Delete any time after created but not longer than two years after created or when no longer needed for business or legal needs.</p>		<p>Item 3.1 Superseded by: GRS 5.2/020 DAA-GRS- 2017-0003-0002 DATE (MM/DD/YYYY): 05/31/2017</p>
N1-53-03-B-0004	<p>Title: System Documentation</p> <p>Title Memo: The system documentation includes system specifications, file specifications, record layouts, user guides, and output specifications. These are covered under GRS-20, item 11.</p> <p>Form Number: _____ Form Series: _____ Restrictions: _____ Computer System: _____ Cost Code: _____ Retention Years: _____ Retention Months: _____ Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary. Delete when superseded or system is obsolete.</p>		<p>Item 4 Superseded by: GRS 3.1/051 DAA-GRS- 2013-0005-0003 DATE (MM/DD/YYYY): 06/12/2014</p>