

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-053-05-002

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

## Description:

This schedule is superseded by N1 053 06 007, and GRS 5.1 item 020 (DAA GRS 2016 0016 0002)

Date Reported: 8/1/2019

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

*(See Instructions on reverse)*

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ARCHIVIST OF THE UNITED STATES

**Records Officer**

cc Agency, NR, NWMD, NWMDA

## REQUEST FOR RECORDS DISPOSITION AUTHORITY

For the Bureau of the Public Debt

August 24, 2004

7. ITEM NO N1-53-04-B-	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
0001	<p>Title: Authorizations to Receive Allotment Notices via Fed-Mail</p> <p>Title Memo: This document allows the Office of Financing the right to send award notice information from the Treasury auction process to the commercial customer. The Office of Financing informs the commercial customer, the amount of the security and the accumulative security totals. The document contains the commercial customers address, primary approving officer information and the Fedline terminal information.</p> <p>Form Number:                      Form Series:                      Restrictions: None Computer System:                      Cost Code: 400 Retention Years: 25                      Retention Months: 0                      Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary. Cutoff files at the end of the calendar year. Destroy 25 years after cutoff</p> <hr/>		
0002	<p>Title: Auction Violation Files – Effecting Policy</p> <p>Title Memo. These documents and files relate to a serious violation of Treasury security auction rules or regulations. The files contain all the information on how the violation occurred and include correspondence, internal memos, research documents and chronology events concerning the violation. Documents of this nature have value to the public due to the wide publicity and are historical because of the change to the auction process. Violations of this nature result in an entire rethinking of the auction process and result in major changes that affected the entire market.</p> <p>An example of a serious violation was the Salomon Brothers case on February 21, 1991. The violation was so serious that Congress and the SEC became involved.</p> <p>Form Number:                      Form Series:                      Restrictions: None Computer System:                      Cost Code: 400 Retention Years: 25                      Retention Months: 0                      Vital Records: <input type="checkbox"/></p> <p>Retention Description: Permanent. Cut off files at the end of legal proceedings or closure of case which ever is appropriate. Retain in the office for 10 after cut off and transfer to NARA 25 years after cut off.</p> <hr/>		

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0003	<p data-bbox="268 247 742 279">Title: Auction Violation Files – Compliance</p> <p data-bbox="268 310 1246 531">Title Memo: The auction violations are filed by cases including investigation notes, correspondence, audits, and press releases or articles in the financial press related to the violations. The violations are serious enough to require a letter from Treasury to the President or CEO of each firm that documents the violation and in some cases asks for additional information or internal reviews or audits. If needed, Treasury will conduct an investigation of the incident and report their findings to senior management at Public Debt and the Treasury Department.</p> <p data-bbox="268 562 1246 709">The documents are used to gather information on the violation to determine the best corrective course of action. Public Debt is required to report all material violations to Congress on an annual basis and these documents are used as a base in the development of this annual report. A letter outlining the violations for the year is also sent to the Speaker of the House and the President of the Senate.</p> <p data-bbox="268 741 1246 835">For the most part, each incident is a single event. In some cases where there are multiple violations by a firm in a short period of time, the number of violations could determine what corrective action is needed.</p> <p data-bbox="268 867 1246 1014">These files need to be maintained since the information is used to send Annual Reports to Congress. The Annual Reports to Congress are also sent to the SEC and there have been further investigations by the SEC that have resulted in fines and other disciplinary actions. They also are needed for reference in case future similar violations occur by the offending firm or another firm.</p> <div data-bbox="268 1045 1246 1140"><table><tr><td>Form Number:</td><td>Form Series:</td><td>Restrictions: None</td></tr><tr><td>Computer System:</td><td>Cost Code: 400</td><td></td></tr><tr><td>Retention Years 25</td><td>Retention Months:</td><td>Vital Records: <input type="checkbox"/></td></tr></table></div> <p data-bbox="268 1171 1246 1234">Retention Description. Temporary. Cutoff files when case is closed. Hold in the office for 7 years and destroy 25 years after the cutoff period.</p>	Form Number:	Form Series:	Restrictions: None	Computer System:	Cost Code: 400		Retention Years 25	Retention Months:	Vital Records: <input type="checkbox"/>		
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0004	<p>Title: Compliance Auction Visits</p> <p>Title Memo: These documents relate to visits of large auction participants and include correspondence, information to prepare for the visits, visit notes, verification of the calculation for the auction NLP(Net Long Position), reports to senior management and copies of the participant's internal controls and procedures.</p> <p>The visits are part of the voluntary compliance program for auctions and are an internal part of helping us educate the auction participants on the rules and the importance of having sound internal controls and procedures in place to prevent future violations. These visits stress the importance of senior management involvement at the firms and the exit conference is with the President of CEO or the firm.</p> <p>Form Number:                      Form Series:                      Restrictions: confidential Computer System:                      Cost Code: 400 Retention Years: 15                      Retention Months: 0                      Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary. Cutoff after each visit is closed. Hold files in the office for 5 years and destroy the documents 15 years after the cutoff period.</p>		
0005	<p>Title: Foreign Series Security Authorization Folders</p> <p>Title Memo: These folders include documents authorizing the sale, issue, and redemption of securities by foreign governments and central banks. The security denominations may be in U.S. currency or other government's currency such as Deutsche Marks. Included in the folder are correspondence, press releases, memos, and other documents authorizing actions of the securities. These documents are the only evidence of the issuance of U.S. securities issued in foreign currency.</p> <p><i>accumulate very slowly and are a</i> These records <del>are not accumulated as</del> part of the current business. There is one cubic foot of records from 1962 through 1979 of authorizations to foreign governments; one cubic foot of records from 1978 through 1983 of denominations in foreign currency, and one cubic foot of records from 1961 through 1981 of issues/redeptions by foreign governments.</p> <p>Form Number:                      Form Series:                      Restrictions: Privacy Act Computer System:                      Cost Code: 400 Retention Years: 30                      Retention Months: 0                      Vital Records: <input type="checkbox"/></p> <p>Retention Description: <del>Permanent. Offer to NARA when 30 years old.</del> <i>Temporary. Destroy 7 years after maturity date</i></p> <p><i>revised 6/17/05 AS</i></p> <p><i>revised 6/17/05 AS</i></p>		

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0006	<p>Title: FRB Comparative Report of Volume and Expense</p> <p>Title Memo: These are reports showing summary information grouped by FRB district of volume of work and expenses incurred while doing business for the Bureau of the Public Debt as fiscal agents of the United States. This report is used to determine the reimbursement to the Federal Reserve Banks. The report charts monthly and year-to-date expenditures covering transactions handled by the Federal Reserve Banks and branches. It displays evidence of the issuance, retirement and redemption of Treasury securities by the Federal Reserve Banks on behalf of the Bureau of the Public Debt.</p> <p>These records are not accumulated as part of the current business. There is one cubic foot of records from 1954 through 1984.</p> <p>Form Number:                      Form Series:                      Restrictions: None Computer System:                      Cost Code: Retention Years: 25                      Retention Months: 0                      Vital Records: <input type="checkbox"/></p> <p>Retention Description. Temporary. Destroy the current records at the end of CY 2009.</p>		
0007	<p>Title: Government, Corporate, and Agencies securities case files</p> <p>Title Memo: The document is an issue folder for agency securities issued by various government and quasi-government entities. The folders are used to document each step of the announcement/auction/issue process. These folders contain summary information related to the announcement/auction/issue process. The documents display evidence that Public Debt's responsibility was to account for debt issued by other Government agencies.</p> <p>These records are not accumulated as part of the current business. There is two cubic foot of records from 1934 through 1966.</p> <p>Form Number:                      Form Series:                      Restrictions: Privacy Act Computer System:                      Cost Code: 400 Retention Years 25                      Retention Months: 0                      Vital Records: <input type="checkbox"/></p> <p>Retention Description. Temporary. Destroy these documents after NARA approval is received.</p>		

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0008	<p>Title: Submitter Agreements</p> <p>Title Memo: These documents are legal agreements between financial institutions submitting auction bids in the commercial process of investing in treasury bonds, notes, or bills. According to the regulations, the submitter agreements are submitted annually and contain information such as the commercial customers address, primary approving officer's information, ABA number, email addresses for award notices and tender submissions, and grants access for institutional employees to TAAPSLink.</p> <p>Form Number. PDF-5441      Form Series:      Restrictions: Confidential Computer System:      Cost Code: 400 Retention Years: 5      Retention Months: 0      Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary. Cutoff at the end of the calendar year and destroy 5 years after the cutoff.</p>		
0009	<p>Title: Buyback Folders</p> <p>Title Memo: The buyback folder records the process Public Debt uses to purchase marketable securities from current security holders. The folders include announcements, press release, analysis relating to the operation, as well as copies of offers located in automated systems</p> <p>Form Number:      Form Series:      Restrictions: Privacy Act Computer System:      Cost Code: 400 Retention Years: 10      Retention Months: 0      Vital Records: <input type="checkbox"/></p> <p>Retention Description. Temporary. Cutoff files at end of the calendar year. Destroy records 10 years after the cutoff period</p>		
0010	<p>Title: Issue Folder</p> <p>Title Memo: This item will supercede a previous retention disposition NC1-53-80-01, 01A. The folders are used to verify that each step of the announcement/auction/issue process was performed correctly. Although these folders occasionally have copies of tender and bid data from the automated systems, most of the items contained in these folders reflect summary information related to the announcement/auction/issue process. These folders include documents related to the announcement, auction, and allotment of securities. These documents display evidence that Public Debt issued securities to the public to finance the public debt.</p> <p>Form Number:      Form Series:      Restrictions: Privacy Act Computer System:      Cost Code: 400 Retention Years: 7      Retention Months: 0      Vital Records: <input type="checkbox"/></p> <p>Retention Description: Temporary Cutoff files at end of the calendar year. Destroy records 7 years after issue date.</p>		

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0011	<p data-bbox="268 247 895 275">Title: Electronic Mail and Word Processing System Copies</p> <p data-bbox="268 310 1241 464">Title Memo: Electronic copies of records that are created on electronic and word processing systems and used sole to generate a record keeping 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.</p> <p data-bbox="268 499 639 527">Retention Description: Temporary.</p> <p data-bbox="268 527 1241 772">a. Copies that have no further admin value after the record copy is made Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on disk or network drives that are used only to produce the record copy-- Destroy/delete 180 days after the record copy is produced.</p> <p data-bbox="268 680 1241 772">b. Copies used for dissemination, revision or updating that are maintained in addition to the recordkeeping copy. – Destroy/delete when dissemination, revision, or updating is completed</p>		