

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-053-82-02

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 8/1/2019

## **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below are active

## **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1 superseded by N1-053-03-003 / 5 and / 6  
Item 26a superseded by N1-053-06-005 / 4  
Item 26c superseded by N1-053-06-005 / 68  
Item 26d superseded by N1-053-06-005 / 68  
Item 26f superseded by N1-053-06-005 / 10  
Item 41 superseded by N1-053-06-005 / 28  
Item 47 superseded by N1-053-06-005 / 28  
Item 67a superseded by N1-053-06-005 / 4 and / 20  
Item 96 superseded by N1-053-06-005 / 28  
Item 104i superseded by N1-053-06-005 / 69  
Item 111 superseded by N1-053-06-005 / 67  
Item 114 superseded by N1-053-06-005 / 10  
Item 115 superseded by N1-053-03-012 / 3

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

11941824

TO: **GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)  
Department of the Treasury

2. MAJOR SUBDIVISION  
Bureau of the Public Debt

3. MINOR SUBDIVISION Office of the Assistant Commissioner  
& Division of Securities Operations (Washington)

4. NAME OF PERSON WITH WHOM TO CONFER

5. TEL EXT

Mildred Linzy

634-5290

LEAVE BLANK	
JOB NO	
NCI-53-82-2	
DATE RECEIVED April 12, 1982	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
4-18-83 Date	<i>[Signature]</i> Archivist of the United States

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 47 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ A Request for immediate disposal.

☒ B Request for disposal after a specified period of time or request for permanent retention.

C. DATE 5-4-82	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	E. TITLE Assistant Commissioner
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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
	<p align="center"><u>DIVISION OF SECURITIES OPERATIONS</u> <u>OFFICE OF THE DIRECTOR</u></p> <p>Directs the technical and administrative operations of the Division; co-ordinates operations with Bureau and Treasury offices, other government agencies and the Federal Reserve Banks and Branches; and deals directly with commercial banks, brokerage houses and the general public in the resolution of unusual problems.</p>		
1.	Subject Files - These files document the routine administrative and program functions of the Division. PURGE ANNUALLY.	NN-162-60, 4a	
2.	Personnel Files	NN-162-60, 4a	
a.	Position Descriptions - DESTROY WHEN SUPERSEDED.		
b.	Training Files - These files include information concerning course and budget allocations, the Fiscal Year Training Plans and applications for employee training.		
(1)	OF 170 - Request for Training (In House - 5 part) PURGE SEMIANNUALLY.		

*[Handwritten]* NN162-60 is Comprehensive Schedule No. 3 for Public Debt.

115-107 Copy 8  
agency M. Linzy  
4/27/83  
Pass 8 info changes per conversation w/ M. Linzy, RPD, on 4/16/83.  
NCW + NNF sent by DMW on 6/6/83  
Macs Data Sheet Attached

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
(2)	OF 170 - Request for Training (Outside) DESTROY WHEN 1 YEAR OLD.		
c.	--PD 3842 - Request for Overtime DESTROY WHEN 3 YEARS OLD.		
3.	Budget Files - These files contain the annual budget submissions to the Division of Financial Management. --PD 2115 - Monthly Financial Status Report (copy) --PD 2199-A - Analysis of Production, Personnel Cost, Effectiveness and Status of Work --PD 3742 - Division Cost Report --PD 4365 - Workload Estimates --PD 4366 - Detail of Permanent Positions --PD 4367 - Cost of Permanent Positions --PD 4368 - Summary of Personnel Compensation and Benefits by Organizational Unit --PD 4369 - Summary by Subactivity --PD 4370 - Other Objects --PD 4370-1 - Other Objects (continued) --PD 4371 - Detail of Program Increases --PD 4372 - Justification Statement --PD 4373 - Detail of Personnel Compensation and Benefits DESTROY WHEN 8 YEARS OLD.	NN 162-60, 4a	
4.	Productivity Reports - These files document the status of work for the Division on a monthly basis. --PD 2175 - Report of Employee Details In --PD 2498-1 - Report of Services Rendered Corporate Agencies --PD 2637 - Case Inventory and Status Report --PD 4009-1 - Examination Section Work Status Reports --PD 4010 - Monthly Report of Cases Processed --PD 4051 - Report on Securities Received and Shipped for the Current Month and Fiscal Year to Date Thru _____. --PD 4153 - Report of Sub-Account Balances --PD 4165 - Report on Authorization for Stock Shipment for the Current Month and Fiscal Year to Date Thru _____. --PD 4166 - Correspondence Processing Time Report (Correspondence and Claims Section) DESTROY WHEN 4 YEARS OLD.	NN 162-60, 12c	
5.	Audit Files - These files contain copies of Internal Audit final reports for the Division. DESTROY WHEN 2 YEARS OLD.	NN 162-60 4a	

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
6.	Chronological Correspondence File - DESTROY WHEN 3 YEARS OLD.	NN 162- 60, 13b	
7.	Forms Printing Control - DESTROY WHEN 2 YEARS OLD.	<i>new series</i>	
8.	--PD 4534 - Original Issue Schedules to Be Received DESTROY WHEN 1 YEAR OLD.	<i>new series</i>	
	<p style="text-align: center;"><u>UNISSUED SECURITIES BRANCH</u></p> <p>Proofreads specimens and first security engraved and printed for each denomination for each new loan; determines needs for additional stocks of securities (after initial order), initiates print orders and production schedules, and follows up to assure timely receipt; receives, counts, examines, controls and maintains custody of unissued stocks of securities; inscribes and issues registered securities; processes requisitions for and delivers or ships securities; makes daily contacts with armored carriers to establish schedules for shipments of savings bond stock; maintains security serial number registers of securities received, issued or shipped; arranges special convoys for shipments of securities; and conducts correspondence with Federal Reserve Banks regarding stock shipments.</p> <p style="text-align: center;"><u>OFFICE OF THE MANAGER</u></p>		
9.	Administrative Subject Files - These files document the routine administrative and program functions of USB.		
a.	Monthly and Quarterly Reports-		
	--PD 2113 - Progress Report	NN 162-	
	--PD 2498-1 - Report of Services Rendered Corporate Agencies	60, 12b	
	--PD 4051 - Report of Securities Received and Shipped		
	--PD 4165 - Report on Authorizations for Stock Shipments		
	--PD 4653 - Productivity and Manpower Utilization Report		
	DESTROY 1 YEAR AFTER CLOSE OF RELATED FY.		
b.(1)	Procurement and Paperwork Management Files-	NN 162-	
	--PD 165-1 - Authorization for Establishment or Revision of Public Debt Forms	60, 13	
	--PD 266 - Requisition for Supplies		
	--PD 666 - Repair and Maintenance Requisition		
	--PD 4247 - Procurement Request		
	DESTROY WHEN 1 YEAR OLD.		

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
(2)	Property Management Files - --PD 2525 - Request for Transfer of Nonexpendable Personal Property DESTROY AFTER INVENTORY.	NN 162- 60, 13	
(3)	Records Management Files - --PD 2558 - Records Disposition List DESTROY 5 YEARS AFTER RELATED RECORDS HAVE BEEN DESTROYED.	<i>new series</i>	
c.	Personnel Files - --PD 2122 - Worksheet of Man Hours and Salary Costs --PD 2175 - Report of Employee Details In --PD 2575 - Task Statements and Standards of Performance --PD 2841 - Notice of Leave Without Pay --PD 3010 - Determination of Need to Fill Vacancy --PD 3156 - Employee Appraisal Report --PD 3289 - Certification of Performance Rating --PD 3657 - Individual Leave Record --PD 3842 - Request for Overtime --PD 4009 - Recommendation for Special Achievement Awards --SF 52 - Request for Personnel Action --SF 71 - Application for Leave DESTROY WHEN 1 YEAR OLD.	NN 162- 60, 5	
d.	Daily Work Summaries - These records summarize the daily work processed in USB by number of cases and pieces. --PD 4160 - Daily Work Status --PD 4218 - Daily Shipping Schedule --PD 4557 - Daily Report of Registered Issue and Retirement Cases as of _____. DESTROY WHEN 1 YEAR OLD.	NN 162- 60, 5	
10.	Daily Security Register - This log records the name, entrance and exit times, and destination of all visitors to the USB vault. --PD 4161 - Daily Security Register DESTROY WHEN 1 YEAR OLD.	NN 162- 60, 38	
11.	Stock Replenishment Files - These files contain the Orders and receipts for shipments of securities stock from the Bureau of Engraving and Printing. --PD 2570 - Securities Ordered and Received DESTROY WHEN RELATED STOCK IS FINALLY MATURE AND STOCK IS RETIRED.	NN 162- 60, 35a	
12.	Savings Bond Receipt and Shipment Files - These files contain the receipt and shipping documentation for U.S. Savings Bonds.		

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a.	Discrepancy Files - --PD 4563 - Savings Bond Discrepancy DESTROY WHEN 3 YEARS OLD.	NN 162- 60, 18a	
b.	Receipt and Shipping Files - --PD 4628 - Deliveries of U.S. Savings Bonds to be Made by IBM During the Month --PD 4636 - Status of Savings Bond --PD 4679 - Daily Record of Savings Bonds Received, Shipped, Due, Owed and Balances DESTROY WHEN 1 YEAR OLD.	NN 162- 60, 37a	
13.	Destruction Files - These files contain the authority letter and other documentation itemizing the serial numbers and loan titles of securities to be destroyed. DESTROY WHEN 3 YEARS OLD.	NN 162- 60, 56c	
<u>UNISSUED SECURITIES BRANCH</u> <u>ALL SECTIONS</u>			
14.	Administrative Files - These files document the routine, administrative functions of the Branch and are found in all sections.		
a.	Monthly and Quarterly Reports- --PD 2113 - Progress Report --PD 2498-1 - Report of Services Rendered Corporate Agencies --PD 4051 - Report of Securities Received and Shipped for the Current Month and Fiscal Year to Date --PD 4653 - Productivity and Manpower Utilization Report --PD 4247 - Procurement Request DESTROY 1 YEAR AFTER CLOSE OF RELATED FY.	NN 162- 60, 12b	
b.(1)	Procurement and Paperwork Management Files - --PD 165-1 - Authorization for Establishment or Revision of Public Debt Forms --PD 266 - Requisition for Supplies --PD 666 - Repairs and Maintenance Requisition --PD 4247 - Procurement Request DESTROY WHEN 1 YEAR OLD.	NN 162- 60, 13	
(2)	Property Management Files- --PD 2525 - Request for Transfer of Nonexpendable Property DESTROY AFTER INVENTORY.	NN-162- 60, 13	

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(3)	Records Management Files- --PD 2558 - Records Disposition List DESTROY 5 YEARS AFTER RELATED RECORDS HAVE BEEN DESTROYED.	<i>new series</i>	
c.	Personnel Files -		
(1)	--PD 2122 - Work Sheet of Manhours and Salary Costs --PD 2175 - Report of Employee Details In --PD 2556 - Monthly Attendance Register --PD 2841 - Notice of LWOP --PD 3010 - Determination of Need to Fill Vacancy --PD 3127 - Report of Absentees --PD 3289 - Certification of Performance Ratings --PD 3657 - Individual Leave --SF 52 - Request for Personnel Action; --SF 71 - Application for Leave DESTROY WHEN 1 YEAR OLD.  (2) --PD 2419 - Notice of Change of Address --PD 2575 - Task Statements and Standards of Performance --PD 3156 - Employee Appraisal Report --PD 3514 - Outside Employment of Business Request --PD 4009 - Recommendation for Special Achievement Awards --SF 7B - Employee Record Card --SF 7D - Position 10 Strip --OF 8 - Position Description --CA 1 - Employee's Notice of Injury or Occupational Disease --CA 2 - Official Superiors Report of Injury DESTROY 6 MONTHS AFTER EMPLOYEE SEPARATES.	<i>new series</i>	
	<u>UNISSUED SECURITIES BRANCH</u> <u>VAULT SECTION</u>		
15.	Administrative Files - These files document the routine administrative and program functions of the section.		
a.	Procurement Files - --PD 2524 - Rubber Stamp Requisition DESTROY WHEN 1 YEAR OLD.	NN 162- 60, 13b	
b.	Personnel Files --PD 669 - Work Sheet - Daily Production DESTROY WHEN 1 YEAR OLD.	<i>new series</i>	
c.	Daily Work Summaries --PD 4056 - Report of Issue Batch Numbers Used On- --PD 4160 - Daily Work Status DESTROY WHEN 1 YEAR OLD.	NN 162- 60, 12b	

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16.	Safekeeping Files - These files document the service offered to other government agencies in which securities are held in the USB vault for safekeeping.		
a.	Receipts - --PD 253 - Safekeeping Receipt DESTROY 6 MONTHS AFTER BIENNIAL INTERNAL AUDIT.	NN 162-60, 36a	
b.	Safekeeping Accountability Files - These files document the deposit and withdrawal activity in safekeeping accounts. --PD 788-2 - Advice of Shipment --PD 2565-4 - Daily Report of Security Charges for Public Debt Transactions (Safekeeping) --PD 2566-4 - Daily Report of Security Credits for Public Debt Transactions (Safekeeping) --PD 3123 - Memorandum Account --PD 3375 - Account Number Assignment Register DESTROY WHEN 1 YEAR OLD.	NN 162-60, 36b	
17.	Securities Accountability Files - These files document the receipt or withdrawal of securities from the USB vault.		
a.(1)	Securities Withdrawal Files - These files document the withdrawal of securities from the USB vault. --PD 1 - Advice of Shipment --PD 3 - Schedule of Serial Numbers --PD 12-3 - Recap of Registered Securities Issued --PD 723 - Transmittal Advice - Matured Unissued Coupons --PD 797 - Registered Stock Requisition --PD 846-1 - Authorization for Stock Shipment (registered, bearer) --PD 846-2 - Authorization for Stock Shipment (savings type) --PD 1398 - Daily Report of Securities Withdrawn from Vault --PD 1668 - Request for Redemption of Registered Securities --PD 3800 - Securities Transactions Request --PD 3800-1 - Securities Transactions Request --Request for Authority to Deliver Unissued Stock for Destruction DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN 162-60, 42b (2)	
(2)	Advices - --PD 982 - Advice of Replacement of Imperfect Stock (bearer) DESTROY WHEN 2 YEARS OLD.	NN 162-60, 34	



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b.	Securities Receipt Files - These files document the receipt of securities in the USB vault. --PD 2289 - Authorization to Print, Complete or Deliver Securities --PD 3458 - Advice of Shipment of U.S. Savings/Retirement Plan Bonds Forwarded for Credit --IBM Packing List DESTROY 6 MONTHS AFTER YEARLY INTERNAL AUDIT.	NN 162-60, 42b (2)	
c.	Reports		
(1)	Vault Stock Activity Reports - These reports inform the Accounts Branch of the balances of securities in the USB vault. --PD 585 - Daily Report of Vault Custodian on Registered Securities --PD 585-2 - Daily Report of Vault Custodian on Bearer Securities DESTROY WHEN 2 YEARS OLD.	NN 162-60, 49b (1)	
(2)	Shipment Accountability Reports - These reports document the receipt of security shipments from the Bureau of Engraving and Printing. --PD 2565 - Daily Report of Security Charges for Public Debt Transactions (bearer) --PD 2565-1 - Daily Report of Security Charges for Public Debt Transactions (registered) --PD 3265 - Daily Report of Security Charges for Corporate and Insular Transactions DESTROY 6 MONTHS AFTER YEARLY INTERNAL AUDIT.	NN 162-60, 49b (2)	
(3)	Securities Under Seal - --PD 2496 - Status of Securities Under Seal DESTROY WHEN SUPERSEDED.	NN 162-60, 53c (a) (1)	
(4)	--PD 2564 - Security Report (consolidated) - This is a report from USB to the Farm Credit Administration and details the number of Securities withdrawn from their account. DESTROY WHEN 1 YEAR OLD.	NN-162-60, 38	
	<u>UNISSUED SECURITIES BRANCH</u> <u>ISSUES CONTROL SECTION</u>		
18.	Daily Work Summaries - These files document the status of work in the section by piece, case, dollar amount, type of agency security and status in process. --PD 4160 - Daily Work Status --PD 4495 - Corporate Agency Time Accounting Report --PD 4496 - Daily Transactions Report	NN 162-60, 12b	

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	--PD 4497 - Issues Control Daily Worksheet --PD 4557 - Daily Report of Registered Issue and Retirement Cases DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.		
19.	Requisition and Shipment Files - These files contain the authorization for issuance and shipment of securities. --PD 12 - Recapitulation of Cases Released for Issue and Shipment --PD 846-2 - Authorization for Stock Shipment (savings type) --PD 1328 - Securities Stock Shipments (savings type) --PD 3976 - Savings Bond Shipments by Armored Carrier --PD 4218 - Daily Shipping Schedule (savings bonds) --SF 1103 - Government Bill of Lading DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN 162-60, 37b	
20.	Issues Control Ledgers - These ledgers document the number of securities and related serial numbers that are received from the manufacturer and that are issued or shipped to the issuing agents. --PD 1219-A - Serial Number Control Securities Printed and Restored to Stock (savings type) --PD 1219-B - Serial Number Control - Securities Printed and Restored to Stock-Savings Bonds/Notes --PD 1220-A - Security Assignment Register - Serial Number Control --PD 1220-B - Security Assignment Register- Serial Number Control-Savings Bonds/Notes --PD 1220-C - Security Assignment Register - Serial Number Control Federal Housing Administration Debentures --PD 3108 - Register of Errors in Shipment of U.S. Savings Type Securities DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN 162-60, 40a	
21.	Posting Media for Issue Control Ledgers - --PD 3 - Schedule of Serial Numbers --PD 797 - Registered Stock Requisition to Replace Securities Spoiled in Issue --PD 930 - Advice of Cancellation and Request for Restoration to Validity --PD 982 - Advice of Replacement of Imperfect Stock --PD 1261 - Statement of High Serial Numbers --PD 3458 - Advice of Shipment of U.S. Savings/Retirement Plan Bonds Forwarded for Credit DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN 162-60, 40c	

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<u>UNISSUED SECURITIES BRANCH</u> <u>SHIPPING SECTION</u>			
22.	Administrative Files - These files document the routine administrative and program functions of the section. --PD 2114 - Machine Utilization Report --PD 4018 - Report on Quality DESTROY 1 YEAR AFTER CLOSE OF RELATED FY.	NN 162- 60, 12b	
23.	DAILY WORK SUMMARIES - These files document the status of work in the section by piece, case and dollar amount. --PD 4160 - Daily Work Status DESTROY WHEN 1 YEAR OLD.	NN 162- 60, 12b	
24. a.	Requisition and Shipment Files --PD 571-c - Registered Mail Invoice and Receipt --PD 1563 - Schedule for Securities Delivered --PD 3523 - Stock Requisition Register --PD 3800 - Securities Transactions Request --PD 4218 - Daily Shipping Schedule DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN 162- 60, 37b	
b.	--PD 846-1b - Authorization for Stock Shipment DESTROY WHEN 30 YEARS OLD.	<i>new series</i>	
25.	Shipping Working Papers --PD 2289 - Film Transfer Invoice --PD 4126 - Registered Accounts Branch Information Request --Request for Tracer --Armored Guard Report DESTROY WHEN 1 YEAR OLD.	NN 162- 60, 38	
<u>UNISSUED SECURITIES BRANCH</u> <u>PAYMENT AND REISSUE SECTION</u>			
26.	Redemption and Servicing Files - These files document transactions concerning the following types of securities: marketable Treasury, Federal Financing Bank, coupon and stamps. Transactions documented by these files include requests for payment or credit of securities, the physical transfer of securities, and/or the redemption or exchange of securities. Because of their closely related function, payment tickets for Savings Bonds are also listed in this item.		
a.	Shipping Advices (Registered) --PD 3641 - Description of Retired Registered Securities --PD 3642 - Advice of Shipment	NC1-53- 78-14, 1a	

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[26]	<p>Shipping Advices (Bearer)</p> <p>--PD 1 - Advice of Shipment of Securities Forwarded for Credit</p> <p>--PD 3 - Schedule of Serial Numbers</p> <p>--PD 4283 - Lot Ticket for Redeemed Securities Shipping Advices (Coupon)</p> <p>--PD 2212 - Advice of Shipment of Redeemed Interest Coupons</p> <p>--PD 4309 - Schedule of U.S. Coupons Submitted to the Bureau of the Public Debt for Payment</p> <p>DESTROY WHEN 3 YEARS OLD.</p>		
b.	<p>Withheld Taxes - These records document the amount of taxes withheld from the interest checks paid to aliens who own U.S. securities.</p> <p>--PD 4305 - Government and Agency Payment Ticket</p> <p>--IRS 1001 - Ownership, Exemption or Reduced Rate Certificate</p> <p><del>DESTROY RECORDS GENERATED PRIOR TO 7-1-75 WHEN 10 YEARS, 3 MONTHS OLD. DESTROY RECORDS GENERATED AFTER 6-30-75 WHEN 6 YEARS, 3 MONTHS OLD.</del></p>	NC1-53-78-14, 1b  <i>JK</i> <i>9/6/83</i>	
c.	<p>Payment Tickets - Items 225c - 225e document the payment of redeemed marketable securities and Savings Bonds noting payment voucher number, owner's name, and security serial number.</p> <p>--PD 1668 - Request for Redemption of Registered Securities</p> <p>MICROFILM WHEN 3 YEARS OLD AND DESTROY ORIGINALS AFTER VERIFICATION IS COMPLETE. DESTROY MICROFILM WHEN ORIGINAL RECORDS WOULD HAVE BEEN 20 YEARS OLD.</p>	NC1-53-78-14, 1c	
d.	<p>--PD 4272 - Affidavit by Owner of Partial Destruction of Mutilated Saving Stamps</p> <p>--PD 4304 - Transfer of Funds (FRB- Richmond)</p> <p>--PD 4305 - Government and Agency Payment Ticket</p> <p>PD 4305 is used as a payment ticket for a variety of miscellaneous payments such as the redemption of bearer securities, savings stamps and coupons.</p> <p>MICROFILM WHEN RECORDS ARE 3 YEARS OLD AND DESTROY WHEN VERIFICATION IS COMPLETE. DESTROY MICROFILM WHEN ORIGINAL RECORDS WOULD HAVE BEEN 20 YEARS OLD.</p>	NC1-53-78-14, 1d	
e.	<p>Savings Bonds Pay Ticket File</p> <p>--PD 4227 - U.S Savings Bond Payment Ticket: Continuation Sheet</p> <p>--PD 4257 - U.S. Savings Bond Payment Ticket</p>	NC1-53-78-14, 1e	

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[26]	--PD 4282 - Letter Regarding Reasons for Withhold- ing Payment of Savings Bond(s) --PD 4387 - Letter - Foreign Address MICROFILM WHEN RECORDS ARE 3 YEARS OLD. DESTROY ORIGINAL RECORDS AFTER VERIFICATION OF MICROFILM. DESTROY MICROFILM WHEN ORIGINAL RECORDS WOULD HAVE BEEN 20 YEARS OLD.		
f.	Payment Vouchers - These records document a request from the Payment and Reissue Section to the Bureau of Govern- ment Financial Operations, Washington Disbursing Center, to issue a check for the payment of a redeemed marketable security or savings bond. It is the only record main- tained by STB which shows that a check has been issued. All other records of specific transactions refer to the voucher number. --SF 1166 - Voucher and Schedule of Payment --SF 1167 - Continuation Sheet <del>DESTROY RECORDS GENERATED PRIOR TO 7-1-75 WHEN 10 YEARS 3 MONTHS OLD. DESTROY RECORDS GENERATED AFTER 6-30-75 WHEN 6 YEARS, 3 MONTHS OLD.</del>	NC1-53- 78-14, 1f  1/6/83	
27.	Supporting documents relating to the issue, reissue and redemption of U.S. Savings Bonds, Savings Notes, Retire- ment Plan Bonds, and Individual Retirement Plan Bonds.. These securities are non-transferrable.		
a.	Applications for Purchase - These are memorandum copies of savings bond applications and are duplicated elsewhere. --PD 2507 - Application for United States Savings Bonds - Series E --PD 3550 - Application for and Proof of Purchase of U. S. Retirement Plan Bonds --PD 3700 - Application for United States Savings Bonds - Series H --PD 4293 - Letter Requesting Further Information on U. S. Savings Bonds --PD 4345 - Application for and Proof of Purchase of U. S. Individual Retirement Bonds --Savings Bond Schedules - These schedules are composite listings of applications from employees of private com- panies, who participate in payroll deduction savings plans. DESTROY WHEN 2 YEARS OLD.	NC1-53- 78-14, 2a	
b.	Addressograph Plates - These address plates are made up for each individual buying a savings bond by the payroll deduction plan. DESTROY WHEN INDIVIDUALS NAME IS REMOVED FROM APPROPRIATE SAVINGS BONDS SCHEDULE.	NC1-53- 78-14, 2b	

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28.	<p>Safe Accountability Files. These records are kept to account for the movement of securities maintained in the Payment &amp; Reissue Section's safe.</p> <p>--PD 846-2                      - Authorization for Stock Shipment --PD 1328                       - Securities Stock Requisition --PD 2835                       - U.S. Savings Bonds/Notes and Retirement Plan Bonds General Stock on Hand --PD 4228                       - Requisitions for Bonds --PD 4258                       - Requisition for Bonds (Reissue) --PD 4281                       - Monthly Stock Balance Report --PD 4606                       - Security Assignment Register --PD 4607                       - Security Assignment Register (Spoiled &amp; Replacement Bonds)</p> <p>DESTROY 6 MONTHS AFTER AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.</p>	NC1-53-78-14, 3	
29.	<p>Authority Files - These files relate to the redemption of savings bonds by people other than the registered owners, and indicate who is legally appointed as their representative.</p> <p>TRANSFER TO FRC WHEN 5 YEARS OLD. DESTROY 6 YEARS AFTER RELATED SECURITIES HAVE REACHED FINAL MATURITY OR ENTERED THE DEPARTMENT, WHICHEVER IS LATER.</p>	NC1-53-78-14, 4 ✓	
30.	<p>Evidence Files - These files contain the evidence submitted by owners or beneficiaries to properly authorize the payment of a bond. They include such legal documents as death certificates and notarized letters appointing executors of estates or guardians.</p> <p>TRANSFER TO FRC WHEN 5 YEARS OLD. DESTROY 6 YEARS AFTER RELATED SECURITIES HAVE REACHED FINAL MATURITY OR ENTERED THE DEPARTMENT, WHICHEVER IS LATER.</p>	NC1-53-78-14, 5 ✓	
31.	<p>Citizenship Files - These files relate to securities held by aliens or by U.S. citizens living in foreign countries. They concern the question of withholding taxes on the interest, which is decided by the person's citizenship.</p> <p>DESTROY WHEN 5 YEARS OLD.</p>	NC1-53-78-14, 6	
32.	<p>General Correspondence Files -</p> <p>DESTROY WHEN 3 YEARS OLD.</p>	NC1-53-78-14, 7	
33.	<p>Transcript Blotter - These files show all the daily work such as transfers from Series E to Series H bonds, FET redemptions, etc.</p> <p>--PD 4253                      - Worksheet - U.S. Savings Bonds --PD 4255                      - Daily Transcript Worksheet --PD 4326                      - Worksheet - Savings Bonds</p> <p>TRANSFER TO FRC WHEN 3 YEARS OLD. DESTROY WHEN 6 YEARS, 3 MONTHS OLD.</p>	NC1-53-78-14, 8	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
34.	<p>Book Entry Payment Files - These files document the payment of redeemed book entry securities.</p> <p>--PD 4632 - Tender for Treasury Bills in Book Entry Form (26 week bills)</p> <p>--SF 1166 - Schedule and Voucher of Payments</p> <p>TRANSFER TO FRC WHEN 3 YEARS OLD. DESTROY WHEN 6 YEARS, 3 MONTHS OLD.</p> <p style="text-align: center;"><u>RETIRED SECURITIES BRANCH</u></p> <p>The records listed below are generated and/or maintained by the Division of Securities Operations, Retired Securities Branch (RSB).</p> <p>RSB receives, controls and receipts for shipments of redeemed and retired securities and interest coupons; audits securities; prepares notices of discrepancies disclosed in audit and initiates corrective actions; after audit maintains files of securities and interest coupons pending authorized destruction; delivers securities and interest coupons for destruction; audits redeemed interest coupons and matured unissued interest coupons detached from stocks of securities; prepares notices of discrepancies disclosed in audit; and assembles source data and reports used in maintaining interest accounting records. Establishes and maintains numerical records of securities; receives schedules of serial numbers of redeemed and retired securities and makes appropriate entries in the numerical ledgers; enters notations in the numerical ledgers regarding questioned items; identifies discrepancies such as apparent duplication of serial numbers; on request develops abstracts by loan of open items; researches and answers inquiries on status of specific securities and concerning the history of securities loans; and processes telegraphic requests for authority to pay past due securities. Performs microphotographic services for the Washington Office, including the microfilming of securities, documents and records for operating and archival purposes and the duplication of documents by photographic or photostatic processes.</p> <p style="text-align: center;"><u>OFFICE OF THE MANAGER</u></p>	NC1-53-78-14, 9	
35	<p>Administrative Subject Files - These files document the routine administrative and program functions of the RSB, Office of the Manager. These files include but are not limited to:</p> <p>--PD 266 - Requisition for Supplies</p> <p>--PD 666 - Repairs and Maintenance Requisition</p>	NN 162-60, 4c.	

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	--PD 2187 - Personnel Organizational Schedule As Of _____ --PD 4247 - Procurement Request --SF 50 - Notification of Personnel Action --SF 52 - Request for Personnel Action PURGE ANNUALLY.		
36.	Chronological Correspondence File - Contains copies of incoming and outgoing correspondence. DESTROY WHEN 5 YEARS OLD.	NN162-60, 11	
37.	Work Measurement and Control Files - These records show individual and productivity rates within each section. They are used to control the work flow, project future workloads and as planning documents in resource allocation efforts.		
a.	--PD 2113 - Progress Report --PD 2498-1 - Report of Services Rendered Corporate Agencies --Productivity and Manpower Utilization Report --Summary Production Reports --Quarterly and Annual Activity Reports of Redeemed and Cancelled Securities and Interest Coupons Received for Audit DESTROY WHEN 5 YEARS OLD.	NN162-60, 12b.	
b.	--Monthly and Quarterly Reports. --Individual Employee Production and Error Reports --Film Archives Reports DESTROY WHEN 2 YEARS OLD.	NN162-60, 12b.	
38.	Procedural Files - These files document the procedures used by RSB to execute assigned functions. DESTROY WHEN SUPERSEDED.		
39.	Budget Reports - Contains copies of annual and semiannual budget submissions required by the Division of Financial Management and are also used in branch planning. --PD 4365 - Workload Estimates --PD 4366 - Detail of Permanent Positions --PD 4367 - Cost of Permanent Positions --PD 4368 - Summary of Personnel Compensation and Benefits by Organizational Unit --PD 4369 - Summary by Subactivity --PD 4371 - Detail of Program Increases --PD 4372 - Justification Statement --PD 4373 - Detail of Personnel Compensation and Benefits DESTROY WHEN 5 YEARS OLD.	NN 162- 60 13b.	



7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. S. SAMPLE OR JOB. NO	10. ACTION TAKEN
40.	Relocation Site Transfer Files - This record documents all microfilm sent to the Public Debt film archives. --PD 2289 - Film Transfer Invoice DESTROY WHEN 3 YEARS OLD AND INVENTORY HAS BEEN CERTIFIED.  <u>RETIRED SECURITIES BRANCH</u> <u>VAULT SECTION</u>	NN 162-60, 48b. (1)	
41.	Advices of Shipment - These are the audited copies of the transmittal documents prepared by the sender and forwarded to the Branch with each shipment of securities. --PD 1 - Advice of Shipment of Securities Forwarded for Credit (D copy) --PD 2565 - Daily Report of Security Charges for Public Debt Transactions (Bearer) (C Copy) --PD 2565-1 - Daily Report of Security Charges for Public Debt Transactions (Registered) (C Copy) --PD 3265 - Daily Report of Security Charges for Agency Transactions (Bearer) (C Copy) --PD 3265-3 - Daily Report of Security Charges for Agency Transactions (Registered) (C Copy) --PD 3642 - Advice of Shipment of Retired Registered Securities Forwarded for Credit (D copy) DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN 162-60, 42b. (2)	
42.	Control Number Log - This log lists the sequential identification number assigned to shipments of securities as they are received in the vault and placed under Branch control. DESTROY WHEN 5 YEARS OLD.		
43.	Mail Sheets - These records show by Post Office Registry Number the daily receipt of mail pouches and registered mail received from the Federal Reserve Banks. They are used to trace lost securities shipments. --PS 9115 - Registered Matter Delivered by Official Mail Messenger Service --PS 3854 - Registers DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN 169-37 [49(h)]	
44.	Treasury and Agency Securities, Interest Coupons - These files consist of all retired, Treasury, marketable securities, all bonds and notes retired by the Bureau as a service to other government agencies and all detached interest coupons. Savings Bonds, notes and stamps, Individual Retirement Plan Bonds and Retirement Plan Bonds are not included in these files.		

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
a.	<p>Bearer Securities - These consist of retired Treasury bonds, notes and bills and certain agency bonds and notes payable to the bearer at maturity or call date. The file also includes unmatured interest coupons which are sometimes attached.</p> <p>DESTROY AFTER COMPLETION OF AUDIT AND MICROFILM COPY IS MADE, REVIEWED AND VERIFIED, DESTROY, MICROFILM WHEN 46 YEARS OLD.</p>	<i>new series</i>	
b.	<p>Registered Securities - These consist of retired Treasury and agency bonds and notes that have been inscribed with the name of the registered owner(s).</p> <p>DESTROY THOSE SECURITIES WHICH HAVE NOT BEEN MICROFILMED, 6 YEARS AFTER RECEIPT IN THE DEPARTMENT OR 6 YEARS AFTER FINAL MATURITY OR CALL DATE OF THE RELATED LOAN, WHICHEVER IS LATER.</p> <p>DESTROY THOSE SECURITIES WHICH HAVE BEEN MICROFILMED AFTER THE FILM HAS BEEN REVIEWED AND VERIFIED. DESTROY MICROFILM WHEN 46 YEARS OLD.</p>	NC1-53-77-2	
c.	<p>Redeemed Interest Coupons Detached from Treasury and Agency Securities.</p> <p>DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.</p>	<i>new series</i>	
d.	<p>Matured Unissued Interest Coupons Detached from Treasury and Agency Securities.</p> <p>DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.</p>	<i>new series</i>	
45.	<p>Bond Retirement Documents - These are items filed with the securities and coupons which aid in the audit, indexing and referencing procedures.</p> <p>--PD 85 - Security Envelope --PD 221 - Coupon Bag Tag --PD 510 - Package Ticket --PD 3865 - Audit Schedule</p> <p>DESTROY WITH RELATED SECURITIES OR COUPONS.</p>	NN 162-60, 42d.	
46.	<p>Caveat Schedules - These records are generated during the processing of a claims case, and are usually issued to replace a security that has been lost, stolen, mutilated destroyed, or defaced. Once the schedules are processed they are retired in the place of the definitive security, and provide evidence that relief has been granted.</p> <p>--PD 1067 - Schedule of Lost, Stolen, Destroyed, Mutilated or Defaced U.S. and Related Securities and Recommendation for Relief</p> <p>DESTROY WHEN RELATED SECURITIES WOULD HAVE BEEN DESTROYED.</p>	NN 162-60, 24a.	

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
47.	<p>Destruction Schedules - These files are lists of cancelled securities and coupons which have been delivered to the Destruction Committee for destruction. This is the vault working copy.</p> <p>--PD 3420 - Schedule of Cancelled Securities/Coupons Delivered for Destruction and Destroyed (D copy)</p> <p>DESTROY AFTER RELATED SECURITIES HAVE BEEN DESTROYED.</p>	NN-162 60-56(b)	
48.	<p>Numerical Punch Cards of Outstanding Armed Forces Leave Bonds - These punch-card records show those AFLB's which are still outstanding.</p> <p>--PD 2060 - Armed Forces Leave Bond - Register's Office Numerical Record Card</p> <p>DESTROY AFTER MICROFILMING AND AS RELATED SECURITIES ARE DESTROYED.</p>	NN 162-60 43	
49.	<p>Security receipts - These receipts are maintained for securities withdrawn from the vault by organizations outside of the Retired Securities Branch.</p> <p>--PD 278 - Requisition and Transmittal of Cancelled Security/Photos.</p> <p>DESTROY WHEN SECURITY IS RETURNED TO THE VAULT SECTION.</p>	NN 162-60, 42e.	
	<p style="text-align: center;"><u>RETIRED SECURITIES BRANCH</u> <u>SECURITY AUDIT SECTION</u></p>		
50.	<p>Audit Working Papers - These files are generated during the audit and verification process and include such items as machine tabulations, error reports, and internal shipment assignment controls.</p> <p>--PD 3225 - Error Reports</p> <p>--PD 3751 - Record of Advice of Shipment</p> <p>DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.</p>	NN 162-60, 42e	
51.	<p>Adjustment Documentation - These records reflect the adjustments made to correct discrepancies disclosed during the audit of Treasury and agency securities.</p> <p>--PD 3745 - Small Difference Summary</p> <p>--PD 4536 - Adjustment Letter-Redeemed Agency Securities</p> <p>--Copies of wires sent to FRBs to indicate discrepancies and any corrective actions taken.</p> <p>DESTROY 3 YEARS AFTER ACCOUNTING PERIOD</p>	NN 162-60, 42a (2)	
52.	<p>Work Measurement and Production Files - These files reflect individual and section production rates. They are used in planning work flow, evaluating performance and setting production standards.</p>	NN 162-60, 12	

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	--Individual Production Summary --Section Production Summary --Record of Individual Auditors DESTROY WHEN 2 YEARS OLD.		
53.	Certificate of Deposit Record - This file documents the receipt of Certificates of Deposit made to the Treasury for missing unmatured coupons detached from retired securities. --PD 2398 - Record of Certificate of Deposit Received in Lieu of Missing Unmatured Coupons Detached from Retired Securities DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN 162-60 42e.	
54.	Administrative Subject Files. PURGE ANNUALLY.  <u>RETIRED SECURITIES BRANCH</u> <u>MICROPHOTOGRAPHIC SECTION</u>	NN 162-60, 4c.	
55.	Microfilm Control Files - These records act as internal control files within the Microphotographic section and contain information concerning the receipt of incoming materials, indexing procedures and movement of reels of film.	NN 162-60, 48	
a.	Transmittal and Receipt Documents - These files document the movement of microfilm reels and original records within the Bureau and to the Bureau's Film Archives. --PD 278 - Requisition and Transmittal of Cancelled Security/Photo(s) --PD 2289 - Film Transfer Invoice (B copy) --PD 2520 - Transmittal and Receipt of Records Sent for Microfilming DESTROY WHEN 1 YEAR OLD.	NN 162-60, 48d.	
b.	Daily Receipt Listing - This is used to verify the completeness of all shipments received in the Microphotographic Section for filming. ---PD 3158 - Daily Receipt Listing DESTROY 1 YEAR AFTER COMPLETION OR FILMING AND AFTER RETAKES HAVE BEEN MADE AND VERIFIED.	NN 162-60, 48d.	
56.	Microphotographic Working Papers - These are internal controls over the various steps of the filming operations.	NN 162-48d.	

## Request for Records Disposition Authority - Continuation

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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
a.	Retake Certificates - These records show that a retake has been made to correct a defect and has been spliced into the reel. --PD 2136 - Retake Certificate DESTROY WHEN 1 YEAR OLD.	<i>Ditto prev. page</i>	
b.	Error Ticket - These are used to record camera operator detected errors. DESTROY 1 YEAR AFTER RETAKE HAS BEEN MADE AND VERIFIED.	<i>Ditto</i>	
c.	Camera Operators' Reports and Certificates - These records identify which securities or items have been filmed and certify that the filming was done in accordance with established procedures. --PD 2519 - Camera Operator's Report and Certificate (for security filming) --PD 3177 - Camera Operator's Report and Certificate (for all other filming) DESTROY 1 YEAR AFTER RETAKES ARE COMPLETED.	NN 162-60 48c.	
57.	Administrative Subject Files. PURGE ANNUALLY.  <u>RETIRED SECURITIES BRANCH</u> <u>NUMERICAL RECORDS AND INQUIRY SECTION</u>	NN 162-60, 4c.	
58.	Numerical Records Files.		
a.	Numerical Ledgers - These files are established and maintained for all registered and bearer securities issued or guaranteed by the United States except U.S. Savings Bonds and Armed Forces Leave Bonds. The Ledgers, which are set up by loan title, denomination and serial number show which securities are retired or redeemed and which are subject to caveats, holds, stops or inquiries. The ledgers also serve as a reference guide to the definitive securities or the microfilm copies of these securities. --PD 396 - Numerical Register Sheet (Registered Securities) --PD 1501 - Numerical Ledger Sheet (Bearer Securities) --PD 3039 - Bond Numerical Ledger Sheet (Bearer Securities with columns for reuse) DESTROY AFTER MICROFILM COPY IS MADE, REVIEWED AND VERIFIED, DESTROY MICROFILM WHEN 46 YEARS OLD.	NN 162-60, 43a.	<i>DAU</i>

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
b.	Master Lists - These lists serve as abstracts of open security serial numbers after the registers are forwarded to the FRC for storage. When outstanding securities are received those serial numbers are crossed off the lists. --PD 2559 - Numerical Record of - DESTROY WHEN ALL SECURITIES SERIAL NUMBERS HAVE BEEN CROSSED OFF AND POSTED TO THE NUMERICAL LEDGERS.	NN 162-60, 43d.	
c.	Security Number Conflict - These records describe serial number conflicts disclosed during posting and actions taken to resolve the conflicts. --PD 518 - Security Number Conflicts Report DESTROY WHEN 1 YEAR OLD.	NN 162-60, 43e.	
d.	High Serial Number Lists - These show the high serial numbers of securities printed for each loan. They are used in preparing the numerical ledgers. --PD 1261 - Statement of High Serial Number of Registered Securities Issued by the Bureau of the Public Debt --Unnumbered - High Serial Number of Bearer Securities Printed DESTROY WHEN SUPERSEDED.	NN 162-60, 43e.	
e.	Schedule of Serial Numbers - These records show the serial numbers of securities submitted for retirement or redemption and are used as posting media for the numerical ledgers. --PD 3 - Schedule of Serial Numbers --PD 1668 - Request for Redemption of Registered Securities --PD 3641 - Description of Retired Registered Securities --PD 3800 - Securities Transaction Request DESTROY 1 YEAR AFTER POSTING TO NUMERICAL LEDGERS, AND MICROFILMING AND VERIFICATION IS COMPLETE.	NN 169-37 [43(b)]	
59.	Inquiry and Investigation Files - Inquiry files pertain to inquiries received from banks, individuals and law enforcement offices and other Bureau offices concerning the redemption and retirement of securities. Investigation files pertain to actions taken by the Bureau to determine if an erroneous payment has been made or security serial numbers have been duplicated.	NN 162-60, 44	
a.	Inquiries/Investigations Not Related to Claims and Not Requiring Follow-up. DESTROY WHEN 6 YEARS OLD.	11	
b.	Inquiries/Investigations Which are Not Claim Related and Which Require Follow-up. DESTROY 6 YEARS AFTER COMPLETION OF FOLLOW-UP.	17	

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
c.	<p>Miscellaneous and Claim-Related Inquiries/Investigations. DESTROY 12 YEARS AFTER THE TREASURY'S INTEREST IN THE SECURITY(IES) HAS BEEN SATISFIED, e.g. 1) when the security has been recovered and retired without credit, 2) when the inquiry/investigation notation has been removed from the numerical register and the security has been retired.</p> <p>The following forms may appear in items 268 a, b or c.</p> <ul style="list-style-type: none"><li>--PD 4 - Caveat Entry Request</li><li>--PD 5 - Caveat/Notation Removal Request</li><li>--PD 73A - Inquiry</li><li>--PD 271 - Report of Activity - Stopped Security</li><li>--PD 1500 - Request for Information - Adjusted Service Bonds</li><li>--PD 278 - Requisition and Transmittal of Cancelled Security/Photo(s)</li><li>--PD 2467 - Request for Information-Armed Forces Leave Bonds</li><li>--PD 3611 - Subsequent Report - Armed Forces Leave Bonds</li><li>--PD 4189 - Retired Securities Referred for Investigation</li></ul>	11	
60.	<p>Certificate of Ownership Files - These files constitute the proof of ownership which must be submitted with redeemed overdue bearer securities or registered securities assigned to become payable to the bearer.</p> <p>--PD 1071 - Certificate of Ownership of U.S. Bearer Securities DESTROY AFTER MICROFILMINBG AND AFTER RELATED SECURITIES HAVE BEEN DESTROYED. DESTROY MICROFILM WHEN 46 YEARS OLD.</p>	NN 162-60, 42c. (1)	
61.	<p>Correspondence Files - DESTROY WHEN 5 YEARS OLD.</p>	NN 162-60, 4c.	
62.	<p>Telegraphic Correspondence Wires - These are wires from and replies to the Federal Reserve Banks consisting of requests for payment (REQPAY) and release of registration (RELREG, AFLB). DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.</p>	<i>new series</i>	
63.	<p>Administrative Subject Files. PURGE ANNUALLY.</p>	NN 162-60, 4c.	

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<u>RETIRED SECURITIES BRANCH</u> <u>COUPON AUDIT SECTION</u>		
64.	Advices of Shipment (unissued interest coupons) - These records document the transmittal of unissued interest coupons to RSB from the FRBs, the Unissued Securities Branch or the Securities Transactions Branch. --PD 723 - Transmittal Advice (USB) (C copy) --PD 846-1 - Authorization for Stock Shipment (USB) (E copy) --PD 2475 - Advice of Shipment of Matured Coupons Forwarded for Credit (B copy) DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN 162-60, 41f. (2)	
65.	Coupon Audit Sheets - These sheets are prepared by coupon auditors and record in detail the contents of each redeemed or unissued coupon shipment. --PD 2687 - Audit Sheet - Unissued Interest Coupons --PD 3043 - Audit Sheet - Redeemed Interest Coupons DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN 162-60, 41g.	
66.	Debit Vouchers - These are audit copies of accounting documents which record charges made to the interest coupon cash accounts. --TUS 5504 - Debit Voucher DESTROY WHEN 1 YEAR OLD.	<i>new series</i>	
67.	Adjustment Records - These records show any adjustments initiated to correct discrepancies disclosed during the audit of redeemed and matured unissued interest coupons.		
a.	Adjustment Processing Documents - --PD 2277 - Adjustment Letter (redeemed coupons) --PD 2941 - Error Report --PD 3101 - Adjustment Ticket --PD 4519 - Coupon Audit/Adjustment and Corrections DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN 162-60, 41e. (2) 41g.	
b.	Small Difference Summary - --PD 3745-1 - Small Difference Summary DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN 162-60, 42a. (2)	
68.	Daily Proof Listings - These are computer generated reports used to control shipments of redeemed interest coupons. DESTROY WHEN RELATED COUPONS ARE DESTROYED.	<i>new series</i>	
69.	Monthly Coupon Statements - These statements document the redemption of interest coupons during each settlement month.	<i>new series</i>	



7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
70.	<p>--Monthly Register for Settlement Month of ____.</p> <p>--Consolidated Monthly Statement of Redeemed Interest Coupons DESTROY WHEN 5 YEARS OLD.</p> <p>Administrative Subject Files - PURGE ANNUALLY.</p>	<p><i>new series</i></p> <p>NN 162-60, 4c.</p>	
71.	<p style="text-align: center;"><u>RETIRED SECURITIES BRANCH</u> <u>ALL SECTIONS</u></p> <p>Administrative Subject Files - These files contain routine administrative documents such as machine utilization reports, work-volume, man-hour, salary and error count reports, employee appraisals and the like.</p> <p>Reports -</p> <ul style="list-style-type: none"><li>--PD 2114 - Machine Utilization Report</li><li>--PD 2123 - Work Sheet - Record of Volume, Man-hours, Number of Employees, Salaries, and Errors Found</li><li>--PD 2175 - Report of Employee Details In</li><li>--PD 2175 - Report of Employee Details In</li><li>--PD 2922 - Telephone Call Blotter</li><li>--PD 3127 - Report of Absentees</li><li>--PD 3156 - Employee Appraisal Report</li><li>--PD 3289 - Certification of Performance Ratings</li><li>--PD 4380 - Annual Maintenance Review Report</li><li>--Other miscellaneous reports not mentioned elsewhere.</li></ul> <p>PURGE ANNUALLY.</p> <p style="text-align: center;"><u>REVIEW AND RULINGS BRANCH</u></p> <p>Examines and analyzes transaction schedules/requests, securities assignments and legal evidence and approves or disapproves transactions in securities; prepares required advices to effect approved transactions and requests more information or evidence from the Federal Reserve Banks; prepares approved issue and retirement cases, assigns transaction accounting dates and issue case numbers, and distributes advices and transaction schedules to other Bureau offices for the issuance or retirement of securities; authorizes releases of registration, authorizations to issue bearer securities and to redeem registered or book-entry securities to the Federal Reserve Banks; receives, controls and distributes "over-the-counter" deliveries of securities to the Division except those delivered to Securities Transactions Branch.</p>	<p>NN 162-60, 4c.</p>	

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
<u>OFFICE OF THE MANAGER</u>			
72.	Administrative Subject Files - These files document the routine administrative and program functions of the branch.		
a.	Monthly and quarterly reports - --PD 2113 - Progress Report --PD 2498-1 - Report of Services Rendered Corporate Agencies --PD 4653 - Productivity and Manpower Utilization Report --PD 4009-1 - Monthly Work Status Report (Exam) --PD 4009-2 - Monthly Work Status Report (Exam) --Summary of FET Cases on Hand (Refused delivery) --Summary of O.I. Cases on Hand (not processed) DESTROY 1 YEAR AFTER CLOSE OF RELATED FY.	NN-162-60, 12	
b.	Property, Procurement and Paperwork Management Files --PD 266 - Requisition for Supplies --PD 666 - Repair and Maintenance Requisition --PD 2525 - Request for Transfer of Nonexpendable Property --PD 4247 - Procurement Request DESTROY WHEN 1 YEAR OLD.	NN-162-60, 13b	
c.	Personnel Files - --PD 2122 - Worksheet for Manhours and Salary Costs --PD 2175 - Report of Employee Details In --PD 2187 - Personnel Organization as of _____ --PD 2841 - Notice of LWOP --PD 3010 - Determination of Need to Fill Vacancy --PD 3156 - Employee Appraisal Report --PD 3289 - Certification of Performance Rating --PD 3657 - Individual Leave Record --PD 3842 - Request for Overtime --TDF 4009 - Recommendation for Special Achievement Awards --SF 50 - Notification of Personnel Action --SF 52 - Request for Personnel Action --SF 71 - Request for Leave DESTROY WHEN 1 YEAR OLD.	NN-162-60 13c	
d.	Daily Work Summaries - These records summarize the daily work processed by each section. --PD 3985 - Daily Report of Issue Cases --PD 4009-1 - Work Status Report (Exam) --PD 4009-2 - Suspended Bond Custodian Recap --PD 4529 - Uncontrolled Cases Received	NN-162-60, 12	

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	--PD 4531 - Controlled Case Report --PD 4534 - O.I. Schedules to be Received --PD 4557 - Daily Report of Registered Issues and Retirement Cases --PD 4570 - Daily Report for Processing Control Section --PD 4635 - Daily Report of FET Cases DESTROY WHEN 1 YEAR OLD.		
73.	Daily Security Register - Records the name, entrance and exit times of all visitors to the Examination Section and the Processing Control Section. --PD 4161 - Daily Security Register DESTROY WHEN 1 YEAR OLD.	NN-162- 60, 5	
74.	Budget Reports - These files contain copies of annual and semiannual budget submissions required by the Divi- sion of Financial Management. --PD 4365 - Workload Estimates --PD 4366 - Detail of Permanent Position --PD 4367 - Cost of Permanent Position --PD 4368 - Summary of Personnel Compensation and Benefits by Organizational Unit --PD 4369 - Summary by Subactivity --PD 4371 - Detail of Program Increases --PD 4372 - Justification Statement --PD 4373 - Detail of Personnel Compensation and Benefits DESTROY WHEN 5 YEARS OLD.  --PD 4247 - Procurement Request DESTROY WHEN 1 YEAR OLD.  <u>REVIEW AND RULINGS BRANCH</u> <u>PROCESSING CONTROL SECTION</u>	NN-162- 60, 13b	
75.	Record Books - These books control the distribution of Treasury, FRB and FHA cases within the section and show batch numbers, type of transaction, date case is pro- cessed and employee's initials. --PD 3861 - Bank Issues Control Ledger --PD 4580 - FHA Treasury Case Number Control Ledger --T-DSO - Batch Number Control Ledger DESTROY WHEN 2 YEARS OLD.	NN-162- 60, 20	
76.	Recap Forms - These files summarize the actions taken on each batch of Treasury and FRB securities cases. They	NN-162- 60, 54	

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>list the loan title, loan code, interest computation date, denomination issued, number of pieces, number of cases in each batch and the date the work is assigned.</p> <p>--PD 12-3 - Recap of Registered Securities Issued</p> <p>--PD 12-5 - Recap of Registered Securities Issued</p> <p>DESTROY WHEN 1 YEAR OLD.</p>		
77.	<p>Report of Cases Charged - These files show the details of each retirement security case. As each case results in a charge to the Treasury the type of transaction, loan title, cusip number, total dollar amount and denomination are recorded.</p> <p>--PD 2565-4 - Daily Report of Security Charge for Public Debt Transaction</p> <p>--PD 3265-1 - Daily Report of Security Charges for Corporation and Insular Transactions</p> <p><del>DESTROY RECORDS PRIOR TO 1975 WHEN 10 YEARS AND 3 MONTHS.</del> DESTROY RECORD AFTER 1975 WHEN 6 YEARS 3 MONTHS <i>old</i>,</p>	NN-162-60, 49d	
78.	<p>Release Wires on Retirements - These files contain the authority wires sent to the FRB's informing them of the date a securities case is released and the request for redemption.</p> <p>--PD 1668 - Request for Redemption of Registered Securities</p> <p>--PD 3800 - Securities Transactions Request</p> <p><del>DESTROY RECORDS PRIOR TO 1975 WHEN 10 YEARS AND 3 MONTHS.</del> DESTROY RECORD AFTER 1975 WHEN 6 YEARS 3 MONTHS <i>old</i>.</p>	NN-162-60, 21	
79.	<p>Operational Report - These files summarize the daily work of the section by batch, case, work hours and salary.</p> <p>--PD 4056 - Report of Advice Numbers Used on</p> <p>--PD 4570 - Processing Control Section Report</p> <p>For</p> <p>DESTROY WHEN 1 YEAR OLD.</p> <p><u>REVIEW AND RULINGS BRANCH</u> <u>EXAMINATION SECTION</u></p>	NN-162-60, 5	
80.	<p>Case Control Reports - These reports summarize the daily work of the section by number, type and status of case in process.</p> <p>--PD 3985 - Daily Report of Issue Cases</p> <p>--PD 3986 - Analyst Daily Report Controlled Items</p> <p>--PD 3986-1 - Analyst Daily Report Uncontrolled Cases</p> <p>--PD 4009 - Daily Report of Cases Processed</p> <p>--PD 4009-1 - Work Status Report</p> <p>DESTROY 6 MONTHS AFTER BIENNIAL INTERNAL AUDIT.</p>	NN-162-60, 20	

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
81.	Securities Control Records - These records control requests for securities transactions FHA non-denomination debentures.	<i>new series</i>	
a.	Issue, Reinstatement, and Validation Files - --PD 673 - Case Summary Sheet --Securities Assignment Registered DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	<i>11</i>	
b.	Stock Requisition - --PD 1328 - Securities Stock Requisition DESTROY WHEN 1 YEAR OLD.	NN-162 60, 37b	
82.	Treasurer's Account Files - These files document the deposit and withdrawal of funds to the Treasurer's --DC 945 - Certificate of Deposit --SF 1080 - Voucher for Transfers Between Appropriations and/or Funds --SF 1081 - Voucher and Schedule of Withdrawals and Audits <del>DESTROY RECORDS PRIOR TO 1975 WHEN 10 YEARS AND 3 MONTHS. DESTROY RECORD AFTER 1975 WHEN 6 YEARS 3 MONTHS.</del>	NN-162- 60, 7	<i>DAU</i>
83.	Check Memo - These memos give the name and address of payee, the reason the payee's check is being held and the final disposition of the check. --PD 4627 - Memorandum of Check Held and Final Disposition DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN-162- 60, 5	
84.	Transmittal Advices- --PD 3568 - Transmittal Advice - Miscellaneous items DESTROY 1 YEAR AFTER CLOSE OF RELATED FISCAL YEAR.	NN-162- 60, 5	
85.	Error Files - These files contain documentation of the errors made by the FRBs when processing securities transactions and the correct disposal of each case. DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN-162- 60, 5	
<u>REVIEW AND RULINGS BRANCH</u> <u>ALL SECTIONS</u>			
86.	Procurement Files - --PD 266 - Requisition for Supplies --PD 666 - Requisition for Repairs and Maintenance DESTROY WHEN 1 YEAR OLD.	NN-162- 60, 13	
87.	Paperwork Management Files - --PD 165-3 - Request for Printing DESTROY WHEN 1 YEAR OLD.	NN-162- 60, 13	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
88.	Personnel Files -		
a.	Individual Personnel Folders - DESTROY MATERIAL WHEN 2 YEARS OLD OR 2 MONTHS AFTER SEPERATION, WHICHEVER IS SOONER.	NN-162- 60, 13	
b.	Other Personnel Documents Filed Outside the Individual Personnel Folders - --PD 2175 - Report of Employee Details-In --PD 3127 - Report of Absentees --PD 3156 - Employee Appraisal Report --PD 3657 - Individual Leave Records --Duty Status Report --SF 50 - Notification of Personnel Action --SF 52 - Request for Personnel Action --SF 71 - Application for Leave DESTROY WHEN 1 YEAR OLD.	NN-162- 60, 13	
89.	Administrative Reports - --PD 2113 - Progress Report --PD 2122 - Work Sheet - Record of Man Hours and Salary Costs --PD 3899 - Report on Budget Status for Year to Date --PD 4653 - Production and Manpower Utilization Report --Highlight Report DESTROY WHEN 1 YEAR OLD.	NN-162- 60, 13	
	<u>ACCOUNTS BRANCH</u>		
	Maintains (1) accounts of securities on hand in various activities of the Division, (2) accounts receivable resulting from erroneous redemptions, and (3) accounts payable resulting from redemptions of unclaimed securities; verifies receipts and releases of unissued securities; prepares a daily transcript of transactions affecting the Account of the U.S. Treasury; prepares daily and monthly accounting and operating reports including daily receipt listings and destruction schedules for redeemed and retired securities, issue reports, and Division redemptions and retirements; answers inquiries concerning status of securities in process of retirement or issuance, and notifies Federal Reserve Banks and Securities Transactions Branch when registered original issue and transfer transactions have been completed.		

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p style="text-align: center;"><u>ACCOUNTS BRANCH</u> <u>STOCK ACCOUNTABILITY SECTION</u></p>		
90.	Securities Reports Files - These files summarize the daily transactions activity of securities processed by the Division of Securities Operations. Accounting transactions documented in these files include, issues, redemptions and retirements of Treasury and agency registered securities. They also include accountability documents for state and local government book-entry accounts.	NN-162-60, 39b.(1)	
a.	<p>Issues - These reports to the Division of Public Debt Accounts (PDA) summarize the daily total of all issues of securities from the Unissued Securities Branch (USB) vault.</p> <p>--PD 2566-2 - Daily Report of Security Credits for Public Debt Transactions (state and local book-entry accounts)</p> <p>--PD 2566-4 - Daily Report of Security Credits for Public Debt Transactions (registered vault stock)</p> <p>--PD 3264-1 - Daily Report of Security Credits for Agency Transactions (FHA vault stock)</p> <p>DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.</p>	(1)	
b.	<p>Retired and Redeemed Files - These reports to PDA summarize the daily total of all retirements and redemptions processed through the Review and Rulings Branch (RRB).</p> <p>--PD 2565-2 - Daily Report of Security Charges for Public Debt Transactions (Book-Entry)</p> <p>--PD 2564-4 - Daily Report of Security Charges for Public Debt Transactions (Registered)</p> <p>--PD 3265 - Daily Report of Security Charges for Corporate and Insular Transactions</p> <p>DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.</p>	11	
91.	Vault Stock Activity Files - These files contain accounting reports showing the receipt and withdrawal of securities from the USB vault.	NN-162-60, 39b.(1)	
a.	<p>Stock Receipts - These files contain accounting documents for security stock received from the Bureau of Engraving and Printing and IBM.</p> <p>--PD 585 - Summary of Stock Activity</p> <p>--PD 2565 - Daily Report of Security Charges for Public Debt Transactions</p> <p>--PD 2565-1 - Daily Report of Security Charges for Public Debt Transactions</p>	11	

**STANDARD FORM 115-A**  
Revised July 1974  
Prescribed by General Services  
Administration  
FPMR (41 CFR) 101-11.4



7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
c.	Recapitulation of Issues - These files summarize each batch of PD 3800's and 3800-1's sent from RRB. The recaps list the total number of cases, pieces and dollar amount represented in each batch. These recaps are also used to prepare the PD 2566. --PD 12-3 - Advice of Registered Securities Issued --PD 12-5 - Recap of Registered Securities Issued by the FRB DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	11	
d.	Shipping Documents - These files contain the notices of intent to ship documents from the FRBs, the backup documents for the controlled items file and the advice of securities shipped from RRB. --PD 2 - Manifest of Shipment --PD 45 - Record of Valuable Letters and Packages Received and Control Numbers Assigned --PD 282 - Accounting Adjustment Advice DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	4	
93.	Transcript Files - This file contains documents reporting cash transaction which affect the General Account of the U.S. Treasury. --GFO 17 - Transcript of the General Account of the U. S. Treasury --TUS 5522 - Debit Voucher --TUS 5523 - Credit Voucher DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN-162-60, 39 b.(1)	
94.	Journal Files - These files summarized the daily and monthly transactions with vault stock and other than vault stock.	NN-162-60, 39 b. (1)	
a.	Daily Journals --PD 3188 - General Journal (for all transactions other than those affecting vault stock) --PD 3189 - Journal (vault stock and contra accounts) DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.		
b.	Asset Account Ledger - These ledgers contain the monthly totals by dollar amount for all transactions. They summarize the daily journals. DESTROY WHEN 10 YEARS OLD.		
95.	Accounts Ledgers - These are the account cards for individuals whose purchase of a security resulted in an erroneous redemption, an unclaimed security or in proceeds of an escheated security. Each file contains the individual account card and supporting papers.	NN-162-60, 39a	

Request for Records Disposition Authority Continuation		JOB NO.	PAGE OF 33
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
a.	Accounts Receivable from Erroneous Redemptions (Acct. No. 20X6768.) DESTROY 10 YEARS AFTER ACCOUNT IS CLOSED.	//	
b.	Accounts Payable Resulting from Redemptions of Unclaimed Securities (Acct. No. 20X3230). DESTROY 10 YEARS AFTER ACCOUNT IS CLOSED.	//	
c.	Deposits in Suspense Accounts and Proceeds of Excheated Securities (Acct. No. 20X3230). DESTROY 10 YEARS AFTER ACCOUNT IS CLOSED.	//	
<u>ACCOUNTS BRANCH</u> <u>RETIRED STOCK ACCOUNTABILITY SECTION</u>			
96.	Destruction Schedules - The schedules list those securities which are eligible for destructions and are prepared in AB for the Retired Securities Branch. --PD 3420 - Schedule of Cancelled Securities/Coupons Delivered for Destruction and Destroyed --PD 3300 - Supplement to Schedule of Cancelled Securities Delivered for Destruction and Destroyed DESTROY 3 YEARS AFTER SECURITIES HAVE BEEN DESTROYED.	NN-162-60, 56 c	
97.	Detail Retirement Account Files - These files contain advices of shipments of Treasury and agency coupons forwarded from RSB. Each file also contains audited accounting copies of bearer and registered coupon shipments. These shipping documents are used as posting documents to the Detail Retirement Account and are forwarded with the interest coupons from the FRBs. --PD 723 - Transmittal Advice Matured Unissued Interest Coupons --PD 2212 - Advice of Shipment of Redeemed U.S. Interest Coupons --PD 2475 - Advice of Shipment of Matured Coupons Forwarded for credit --PD 2485 - Interest Coupons Account DESTROY WHEN 3 YEARS OLD.	NN-162-60, 41 f. (1)	
<u>ACCOUNTS BRANCH</u> <u>REGISTERED MAIL SECTION</u>			
98.	Manifest of Shipment - These manifests record the receipt of securities, authority papers and securities transactions requests from the Federal Reserve Banks (FRBs). --PD 2 - Manifest of Shipment DESTROY 3 YEARS AFTER ACCOUNTING PERIOD.	NN-162-60, 29b	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
99.	Securities Receipt Documents - These files document the receipt of registered mail from the Post Office. They are used to verify the lock number, rotary numbers and office of origin of each shipment of registered mail. DESTROY WHEN 3 YEARS OLD.	NN-162-60, 30a	
100.	Ledger Books - These ledgers control the work received from the FRBs and the public. They document the assignment and movement of work within the Bureau. --Uncontrolled Ledger Books --E Number Ledger Books --Small Control Number Ledger Books --Work Assignment Ledger Books DESTROY WHEN 2 YEARS OLD.	NN-162-60, 29a	
101.	Transmittal Advices - These advices transmit a number of miscellaneous items from the FRBs. Chief among those items received by the Review and Rulings Branch via these transmittals are the Federal Estate Tax cases. --PD 3568 Transmittal Advice DESTROY WHEN 1 YEAR OLD.	NN-162-60, 29b	
102.	Operational Reports - These reports summarize the daily work of the section by number and type of cases received and processed, number of employees, work hours, etc. --PD 2498-1 - Report of Services Rendered Corporate Agencies --PD 4529 - OI Schedules Received --PD 4530 - Outtellers Daily Report --PD 4531 - Controlled Case Report DESTROY WHEN 1 YEAR OLD.  <u>CORRESPONDENCE AND CLAIMS BRANCH</u>  Examines and adjudicates claims for relief on account of loss, theft, destruction or mutilation of securities; directs the entry and removal of caveats in the registered accounts and notations in the numerical registers for bearer securities; furnishes caveat lists on matured registered securities to the Federal Reserve Banks and Branches; authorizes security entries into and removal from the Federal Reserve Bank checklist and the FBI's National Crime Information Center file, gives instructions or obtains information and evidence needed to process transactions in Treasury or agency securities; furnishes information regarding holdings in registered securities and interest payments; replies to general inquiries; recovers improperly paid registered interest on securities; examines and approves or disapproves certificates of owner-	NN-162-60, 5	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>ship on overdue securities; reviews evidence submitted in connection with registered interest, and evidence submitted in advance of transactions in securities; develops evidence and recommends the disposition of securities and interest checks of deceased owners whose estates are not being administered under court supervision; receives and routes all incoming ordinary mail; services and maintains correspondence, authority, claims, precedent and subject files located in the Division or in the Federal Records Center; disposes of files in accordance with established schedules; operates a word processing center which includes automatic typing and dictating-recording equipment.</p>		
103.	<p style="text-align: center;"><u>OFFICE OF THE MANAGER</u></p> <p>Budget Reports - This file consists of the annual budget submissions to the Division of Financial Management.</p> <ul style="list-style-type: none"><li>--PD 4365 - Workload Estimates</li><li>--PD 4366 - Detail of Permanent Positions</li><li>--PD 4367 - Cost of Permanent Positions</li><li>--PD 4368 - Summary of Personnel Compensation and Benefits by Organizational Unit</li><li>--PD 4369 - Summary by Subactivity</li><li>--PD 4371 - Detail of Program Increases</li><li>--PD 4372 - Justification Statement</li><li>--PD 4373 - Detail of Personnel Compensation and Benefits</li></ul> <p>DESTROY WHEN 5 YEARS OLD.</p> <p style="text-align: center;"><u>CORRESPONDENCE AND CLAIMS BRANCH</u> <u>FILES SECTION</u></p>	<i>new</i> <i>deletis</i>	
104.	<p>Alphabetic Case Files - These files consist of authority papers, legal documents, copies of correspondence and branch working papers. They support transactions in securities, disposition of interest and security proceeds and/or document the issue of information relating to individuals or companies. The retention period of each file is dependent upon the type of material contained in the file. If two or more differing classifications of material appear in the file, the one with the longest retention period governs.</p> <p>a. Release of Held Interest to Other Than the Registered Owner - These files contain correspondence initiated to secure the names and addresses of those individuals legally entitled to held interest. Legal documents supporting such entitlements are also maintained in these files.</p>	NN-162-60, 18a	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
(104 cont.)			
--PD 3128	- Voucher for Withdrawal from Deposit Fund Account Proceeds of Undeliverable Interest Checks		
b.	Waivers of Interest Payments to Other Than the Registered Owner - These files contain the waivers of interest pay- ments and the legal papers supporting such waivers. --PD 4470 - Waiver/Edited Check Inscription Tin Change	NN-162- 60, 18a	
c.	Documentation of Securities Transactions not Described Elsewhere - These files include correspondence and legal papers supporting securities transactions not described elsewhere. --PD 1003 - Power of Attorney by Corporation or Unincorporated Association Authorizing Disposition of Registered Transferable Securities --PD 1008 - Specific Power of Substitution Under Power of Attorney Granted to Corporation to Dispose of Registered Securities --PD 1010 - Resolution by Governing Body of an Organization Authorizing Assignment and Disposition of Specified Securities Owned in Its Own Right or in a Fiduciary Capacity --PD 1011 - Resolution Authorizing (1) Disposition of Securities Held by Organization and (2) Execution and Delivery of Bonds of Indemnity --PD 1014 - Certificate of Incumbency of Officers --PD 1461 - Application for Recognition as Voluntary Guardian of Incompetent Owner of Registered Securities and for Disposition of the Securities or Interest Thereon --PD 1832 - Special Form of Detached Assignment for U. S. Registered Securities --PD 2168 - Request for Reissue of Treasury Bonds, Investment Series, in Name of Successor Where Reissue is Authorized --PD 2216 - Application by Preferred Creditor for Disposition Without Administration Where Deceased Owner's Estate Included U. S. Registered Securities and/or Related Checks in an Amount Exceeding \$100 --PD 2446 - Certificate of Incumbency for Fiduciaries --PD 2458-1 - Certificate of Entitlement --PD 2481 - Application for Recognition as Natural Guardian of Minor	NN-162- 60, 18a	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	(104 cont.) --PD 2495 - Resolution by Fiduciaries Empowered to Act as a Unit Authorizing Disposition of Specified Registered Securities --PD 3475 - Special Form for Assignment of Federal Housing Insurance Fund Debentures --PD 1500 - Request for Information, Research Questionnaire on Adjusted Service Bonds --PD 2467 - Request for Information - Armed Forces Leave Bonds		
d.	Over/Underpayments of Registered Interest.	NN-162-60, 18a	
e.	Corrections of Over/Underpayments of Principal, and Final Interest.  Items a-e above should be DESTROYED 6 YEARS AFTER THE LATEST MATERIAL IN THE FILE, PROVIDED THE RELATED ACCOUNT IS CLOSED.		
f.	Correction of Registration - These files contain correspondence relating to the correction of registration of Treasury securities and including the taxpayer identifying number on the registered account.	NN-162-60, 18a	
g.	Requests for Information - These files contain requests for information on securities transactions and the status of securities, accounts and interest payments. --PD 278 - Requisition and Transmittal of Cancelled Security/Photo(s)  Items f. and g. above should be DESTROYED 3 YEARS AFTER THE LATEST MATERIAL IN THE FILE, PROVIDED THE RELATED ACCOUNT IS CLOSED.		
h.	FET Cases - These files relate to the payment of federal estate taxes made using Treasury securities (does not include reinstatement cases). --PD 1782 - Application for Redemption of Treasury Bonds for Federal Estate Tax Credit and Schedules DESTROY 9 YEARS AFTER LATEST MATERIAL IN THE FILE.	<i>new series</i>	
i.	Reinstatement of FET Cases - These files relate to cases in which securities used to pay federal estate taxes are reinstated and returned to the estate. Starting in 1976 Public Debt began to reissue these securities in book-entry form, rather than as definitive securities. There-	NN-162-60, 46 46b(1)	

Request for Records Disposition Authority—Continuation		JOB NO	PAGE OF 38
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>fore, the files must now be kept to supplement the numerical ledgers in order to ensure that a complete history of each security is maintained. These records accumulate at the rate of 2 cubic feet per year.</p> <p>--PD 1782      - Application for Redemption of Treasury Bonds for FET Credit &amp; Schedules</p> <p>--PD 4243      - Authority to Adjust Prior Redemption Transaction for the FET Case of _____</p> <p>DESTROY AFTER MICROFILM COPY IS MADE, REVIEWED AND VERIFIED. DESTROY MICROFILM WHEN 46 YEARS OLD.</p>		
j.	<p>Settlement of Estates Without Administration - These files relate to the settlement of estate cases in which the Treasury acts as a court and awards the heirs securities or interest in any amount \$1,000 or less.</p> <p>--PD 336      - Summary and Authorization for Disposition of Decedent's Securities and/or Interest Checks Without Administration</p> <p>--PD 673      - Case Summary Sheet</p> <p>--PD 1050      - Creditor's Consent to Disposition of U.S. Securities and Related Checks Without Administration of Deceased Owner's Estate</p> <p>--PD 1646      - Application for Disposition of U.S. Registered Securities and Related Checks Without Administration of Deceased Owner's Estate</p> <p>--PD 2066      - Application by Survivors for Payment of Bond or Check Issued Under the AFL Act of 1946, as Amended</p> <p>--PD 2089      - Payment to Survivors of Bond and/or Check Issued Under the Armed Forces Leave Bond Act of 1946, the Owner or Payee of Which is Deceased</p> <p>DESTROY 6 YEARS AFTER DATE OF LATEST MATERIAL IN FILE.</p>	NN 172-32, 18b	
(2)	<p>Settlement of Estates Without Administration - These files relate to the settlement of estates in any amount of \$1,000 or more.</p> <p>DESTROY 15 YEARS AFTER DATE OF LATEST MATERIAL IN FILE.</p>	<i>new series</i>	
k.	<p>Bond of Indemnity Cases - These files contain the documentation of cases processed on the basis of a bond of indemnity without instruction from the owner.</p> <p>--PD 4222      - Bond of Indemnity Without Surety</p>	NN-172-32, 18c	
l.	<p>Renunciation of Title Cases - These files contain the documentation of title by the owner or persons entitled to securities.</p> <p>--Disclaimer of Interest</p>	NN-172-60, 18d	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
m.	(104 cont.) Held Accounts - These files document the disposition of payments of interest, coupons or securities which have been held by the Treasury for any reason. Examples of this type of case include "blocked" accounts or missing or unknown owners. --SF 1166 - Voucher and Schedule of Payments  Items k-m should be DESTROYED 10 YEARS AFTER THE LATEST MATERIAL IN THE FILE. PROVIDED THE RELATED ACCOUNT IS CLOSED.	NN-162-60, 18d	
n.	Requests Files - These files contain requests for forms, address changes and verification of registered holdings. --PD 345 - Description of Registered Treasury Bonds/Notes of the U.S. or Registered Securities With Respect to Which the Treasury Department Acts as Transfer Agency --PD 1500 - Request for Information on Adjusted Service Bonds --PD 2467 - Request for Information Armed Forces Leave Bonds --PD 4126 - Registered Accounts Research Request --PD 4473 - Complete Holdings Inquiry --PD 4481 - Serial Number Inquiry DESTROY 2 YEARS AFTER DATE OF LATEST MATERIAL IN FILE.	NN-162-60, 18d	
o.	Reports of Non-Receipt of Interest.	NN-162-60, 18e	(104 cont.) DAU
p.	Requests for Information or Actions That Were Forwarded to Other Offices. --PD 675 - Files Requisition	NN-162-60, 18e	11
q.	Release of Held or Returned Interest To the Registered Owner. --PD 3128 - Voucher for Withdrawal from Deposit Fund Account Proceeds of Undeliverable Interest Checks	NN-162-60, 18e	11
r.	Verification of Registered Holdings to Other Than a Registered Owner - These files include negative reports and audit verifications. --PD 278 - Requisition and Transmittal of Cancelled Security/Photos --PD 1500 - Request for Information on Adjusted Service Bonds --PD 2467 - Request for Information Armed Forces Leave Bonds --PD 4126 - Registered Accounts Research Request	NN-162-60, 18e	11



7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
(104 cont.)			
	--PD 4473 - Complete Holdings Inquiry --PD 4481 - Serial Number Inquiry		
s.	Requests for Interest Payment Information - These requests are to registered owners or agents.	NN-162-60, 18e	DAY
t.	Tax Withheld Interest Payment Files  Items o-t should be DESTROYED 3 YEARS FROM DATE OF LATEST MATERIAL IN FILE.	NN-162-60, 18e	u
105.	Chronological Correspondence File DESTROY WHEN 1 YEAR OLD.	NN-162, 60, 11	
106.	Change of Address Envelopes --PD 345 - Description of Registered Treasury Bonds/Notes of the U. S. Registered Securities With Respect to Which the Treasury Acts as Transfer Agency DESTROY WHEN 2 YEARS OLD.	NN-162-60, 18c	
107.	Certificates of Ownership Files - These files contain C.O. transmittals and related correspondence --PD 3100 - Form Letter - Stub Discrepancy Notice --PD 3102 - Certificate of Ownership Transmittal --PD 4154 - Teletype Message Covering Certificates of Ownership DESTROY WHEN 2 YEARS OLD.	NN-162-60, 18d	
108.	FRB Wires DESTROY WHEN 2 YEARS OLD.	new series	
109.	FHA Files - These files contain FHA transmittal documents and authorizations from the FHA to process security transactions with FHA debentures. DESTROY WHEN 6 YEARS OLD.	new series	
110.	Federal Record Center Control Cards - These cards are maintained as a cross reference by name of those alpha name files which are maintained at the FRCs. DESTROY WHEN RELATED FILES ARE DESTROYED.  <u>CORRESPONDENCE AND CLAIMS BRANCH</u> <u>CLAIMS SECTION</u>	new series	
111.	Bonds of Indemnity Claims - These files contain bonds of indemnity and evidence to support the signatures which appear on them. They are maintained to protect the	NN-162-60-23	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>Treasury from liability for double payments resulting from relief granted for lost, stolen or destroyed securities.</p> <p>--PD 2778-1 - Signature and Certification Attachment</p> <p>--PD 1014 - Certificate of Incumbency of Officers</p> <p>--PD 4087 - Bond of Indemnity</p> <p>--PD 4087-1 - Bond of Indemnity</p> <p>--PD 4087-3 - Bond of Indemnity</p> <p>--PD 4087-4 - Approval Sheet Agreement/Bond of Indemnity</p> <p>--PD 4094 - Affidavits by Individual Sureties</p> <p>DESTROY WHEN ALL LEGAL NEEDS HAVE EXPIRED.</p> <p>TRANSFER TO AN FRC IS NOT AUTHORIZED.</p>		
112.	<p>Numbered Claims Files - These files contain authority papers and correspondence relating to claims of lost, stolen, missing or destroyed securities. A case is closed if it meets any of the following conditions:</p> <p>(a) Claims in which the securities were recovered by the owner and no relief was granted.</p> <p>(b) Claims in which relief was granted, securities were retired without credit and any possibility of double payment by the Treasury was satisfied.</p> <p>(c) The securities are closed in the numerical registers and no relief was granted.</p> <p>--PD 1 - Advice of Shipment of Securities Forwarded for Credit</p> <p>--PD 4 - Caveat/Notation Entry Request</p> <p>--PD 5 - Caveat/Notation Removal Request</p> <p>--PD 599 - Claim Schedule Worksheet</p> <p>--PD 1001 - Power of Attorney by Individual Authorizing Disposition of Registered Transferable Securities</p> <p>--PD 1011 - Resolution authorizing (1) Disposition of Securities Held by Organization and (2) Execution and Delivery of Bonds of Indemnity</p> <p>--PD 1014 - Certificate of Incumbency of Officers</p> <p>--PD 1022 - Application for Relief on Account of the Loss, Theft or Destruction of U.S. Bearer Securities (organization)</p> <p>--PD 1022-1 - Application for Relief on Account of the Loss, Theft, or Destruction of U.S. Bearer Securities (Individual)</p> <p>--PD 1025 - Application for Relief on Account of the Loss, Theft or Destruction of U.S. (Registered Securities)</p>	NN-162-60, 18d	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	--PD 1067 - Schedule of Lost, Stolen, Destroyed, Mutilated or Defaced U.S. and Related Securities and Recommendation for Relief --PD 1071 - Certificate of Ownerships of U.S. Bearer Securities --PD 1832 - Special Form of Detached Assignment for U.S. Registered Securities --PD 2446 - Certificate of Incumbency for Fiduciaries --PD 2467 - Request for Information Armed Forces Leave Bonds. --PD 2471 - Certificate to Support Application for Relief on Account of Lost, Stolen or Destroyed U.S. Securities --PD 2481 - Application for Recognition as Natural Guardian of Minor Not Under Legal Guardianship and for Disposition of Minor's Interest in Registered Securities --PD 4126 - Registered Accounts Research Request --PD 4149 - Telephone Call Memorandum --PD 4189 - Retired Securities Referred for Investigation --PD 4210 - Security States Update Request --PD 4322 - Securities Form NCIC DESTROY 7 YEARS AFTER CASE IS CLOSED.		
113.	Coupon Files - These files contain authority papers and correspondence relating to claims of lost, stolen, missing or destroyed coupons detached from bearer securities. A case is closed if it meets any of the following conditions: (a) Claims in which relief was granted and all liability for double payment by the Treasury has been satisfied. (b) Claims for which applications were accepted but no relief was granted and the related coupon account has reached a zero balance. (c) Claims for which no applications for relief were accepted. --PD 1011 - Resolution Authorizing (1) Disposition of Securities Held by Organization and (2) Execution and Delivery of Bonds of Indemnity --PD 1022 - Application for Relief on Account of the Loss, Theft, or Destruction of U.S. Bearer Securities (Organizations)	NN-162-60, 18d	

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**115-203**

**STANDARD FORM 115-A**  
Revised July 1974  
Prescribed by General Services  
Administration  
FPMR (41 CFR) 101-11.4

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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
	--PD 2087 - Application for Relief on Account of Loss, Theft or Destruction of AFLB --PD 2087-B - Sworn or Certified Statement in Support of Application for Relief on Account of Loss, Theft or Destruction of AFLB --PD 2089 - Payment to Survivors of Bond and/or Check Issued Under the Armed Forces Leave Bond Act of 1946, the Owner of Which is Deceased --PD 2467 - Request for Information Armed Forces Leave Bond --PD 2471 - Certificate to Support Application for Relief on Account of Lost, Stolen or Destroyed U.S. Securities DESTROY 7 YEARS AFTER CASE IS CLOSED.	11	
115.	Alphabetic Files - These files contain authority papers and correspondence prepared in connection with the minor mutilation of securities, inquiries associated with such cases and cases where claims were not accepted. --PD 4 - Caveat/Notation Entry Request --PD 5 - Caveat/Notation Removal Request --PD 599 - Claim Schedule Worksheet --PD 1022 - Application for Relief on Account of the Loss, Theft, or Destruction of U.S. Bearer Securities (Individuals) --PD 1022-1 - Application for Relief on Account of the Loss, Theft or Destruction of U.S. Bearer Securities (Individuals) --PD 1025 - Application of Relief on Account of the Loss, Theft or Destruction of U.S. (Registered Securities) --PD 1054 - How to Obtain Payment of Adjusted Service Bond DESTROY 7 YEARS AFTER LATEST MATERIAL IN FILE.	NN-162-60, 18b	
116.	Chronological Correspondence File- DESTROY WHEN 2 YEARS OLD.	NN-162-60, 11	
117.	Schedule Files - These files consist of the B copy of the PD 1067. They are maintained to provide samples of types of relief cases and to control the assignment of schedule numbers. --PD 1067 - Schedule of Lost, Stolen Destroyed Mutilated or Defaced U.S. and Related Securities and Recommendation for Relief DESTROY WHEN 3 YEARS OLD.	NN-162-60, 24b	

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
118.	FRB Checklist - This checklist consists of a description of all bearer securities reported lost, stolen mutilated or destroyed. DESTROY 7 YEARS AFTER MATURITY OF LOAN DESCRIBED ON EACH PAGE.	<i>new series</i>	
119.	FRB Checklist Wires - These are the posting documents to the FRB checklist. DESTROY WHEN 1 YEAR OLD.	NN-162-60, 28	
120.	Caveat and High Serial Number List - This list shows the high serial number printed for each loan and all caveats placed against serial numbers within those loans. DESTROY 7 YEARS AFTER RELATED LOAN MATURES.	<i>new series</i>	
121.	Security Status Update Files - These files consist of requests to RSB verifying status of securities at various stages of the relief process. --PD 4210 - Security Status Update Request DESTROY WHEN 3 YEARS AFTER ACCOUNTING PERIOD.		
122.	Certificates of Deposit/Payment Vouchers - These files document deposits or payments authorized by the Claims Section. --SF 215 - Certificate of Deposit --SF 1166 - Voucher and Schedule of Payments <del>DESTROY RECORDS PRIOR TO 1975 WHEN 10 YEARS AND 3 MONTHS. DESTROY RECORD AFTER 1975 WHEN 6 YEARS 3 MONTHS.</del> <i>ll.</i>	NN-162-60, 7b	
123.	Claims Index Files - These file index the numbered claims cases by name of claimant.	NN-162-27b	
a.	Alphabetic Cards - These are 3 x 5 index cards prepared after 1960. DESTROY AS ASSOCIATED FILES ARE DESTROYED.		
b.	Claims Summary Cards - These are case summary cards prepared before 1960. DESTROY 3 YEARS AFTER CASE IS CLOSED.		
	<u>CORRESPONDENCE AND CLAIMS BRANCH</u> <u>ALL SECTIONS</u>		
124.	Monthly Reports - --PD 2113 - Progress Report --PD 2114 - Machine Utilization Report --PD 2123 - Work Sheet - Record of Volume, Man Hours, Number of Employees, Salaries and Errors Found --PD 2175 - Report of Employee Details in	NN-162-60, 12b	

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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
	--PD 2498-1 - Report of Services Rendered Corporate Agencies --PD 4166 - Correspondence Processing Time Report --PD 4653 - Productivity and Manpower Utilization Report DESTROY WHEN 5 YEARS OLD.  --PD 1067 - Schedule of Lost, Stolen, Destroyed, Mutilated or Defaced U.S. and Related Securities and Recommendation for Relief DESTROY WHEN 3 YEARS OLD.		
125.	FRB Checklist - This checklist consists of a description of all bearer securities reported lost, stolen mutilated or destroyed. DESTROY 7 YEARS AFTER MATURITY OF LOAN DESCRIBED ON EACH PAGE.	<i>new series</i>	
126.	FRB Checklist Wires - These are the posting documents to the FRB checklist. DESTROY WHEN 1 YEAR OLD.	NN-162-60, 28	
127.	Caveat and High Serial Number List - This list shows the high serial number printed for each loan and all caveats placed against serial numbers within those loans. DESTROY 7 YEARS AFTER RELATED LOAN MATURES.	<i>new series</i>	
128.	Security Status Update Files - These files consist of requests to RSB verifying status of securities at various stages of the relief process. --PD 4210 - Security Status Update Request DESTROY WHEN 3 MONTHS OLD.	<i>new series</i>	
129.	Certificates of Deposit/Payment Vouchers - These files document deposits or payments authorized by the Claims Section. --SF 215 - Certificate of Deposit --SF 1166 - Voucher and Schedule of Payments DESTROY WHEN 4 YEARS OLD.	NN-162-60, 7b	
130.	Claims Index Files - These files index the numbered claims cases by name of claimant.	NN-162-60-27b	
a.	Alphabetic Cards - These are 3 x 5 index cards prepared after 1960. DESTROY AS ASSOCIATED FILES ARE DESTROYED.		
b.	Claims Summary Cards - These are case summary cards prepared before 1960. DESTROY 3 YEARS AFTER CASE IS CLOSED.		

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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
	<u>OFFICE OF THE ASSISTANT COMMISSIONER</u> <u>WASHINGTON OFFICE</u>		
131.	Chronological Files DESTROY WHEN 2 YEARS OLD.	<i>new series</i>	
132.	Subject Files PURGE ANNUALLY (Selected Topics are forwarded for inclusion in the Office of the Commissioner's Files).	<i>new series</i>	
133.	Reference Files - These are courtesy copies of files maintained in the originating offices.  a. Grievance Files b. Internal Audit Reports c. Management/Activity Reports DESTROY WHEN 2 YEARS OLD.	<i>new series</i>	