

*(See Instructions on reverse)*

1. FROM (Agency or establishment)

## 2. MAJOR SUBDIVISION

### 3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE
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K. DIANE BOYLE

**703-487-9517**

**JOB NUMBER**

N1-485-91-1

DATE RECEIVED

7/25/94

## NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE \_\_\_\_\_

12-13-94

ARCHIVIST OF THE UNITED STATES

## 6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached \_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,



is not required;



is attached; or



has been requested.

DATE \_\_\_\_\_

7/18/94

~~SIGNATURE OF AGENCY REPRESENTATIVE~~

TITLE

**DIRECTOR, ADMINISTRATION, SPCL PROJECTS**

7.  
ITEM  
NO.

## 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR  
SUPERSEDED  
JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)	
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**SEE ATTACHED**

Copies sent to agency, NCF, NN-W, NNT, NIA 12/2/94

**Attachment to SF 115, Job No. N1-485-91-1, Federal Housing Finance Board - Federal Home Loan Banks - Office of Finance**

**Office of Finance - Capital Markets Division**

**Item 1.1. Federal Home Loan Banks Consolidated Obligations Dealer Files** - This series consists of the records created during the following transactions/investments: medium term notes, discount notes, and bonds. These are investments that help fund the 12 FHLBanks.

**a. Active Dealer Files**

**Disposition:** Transfer to semi-active or inactive dealer files, whichever is appropriate, when office no longer conducts transactions with dealer on an ongoing basis.

**b. Semi-Active Dealer Files**

**Disposition:** Transfer to inactive files when office no longer conducts transactions with dealer.

**c. Inactive Dealer Files**

**Disposition:** Temporary. Maintain in Office of Finance: Destroy 3 years after inactivity.

**Item 1.2. Audio Recordings of Investment Transactions** - Audio tapes, with a 21 hour capacity, that are voice activated.

**Disposition:** Temporary. Cut off annually. Voice over when cassettes are 3 years old.

**Item 1.3. Trade Tickets** - This record is a follow-up paper trail on the transactions completed.

**Disposition:** Temporary. Destroy when one year old.

**Item 1.4. Balance Sheets** - A balance sheet of that day's transactions. This record documents only the discount notes sold to dealers.

**Disposition:** Temporary. Cut off annually. Destroy when 7 years old.

**Item 1.5. Reconciliation Reports/Cash Sheets** - This series is similar to Balance Sheets. The Cash Sheets are a daily balance of the wire of funds from the United States Treasury by the 12 Banks and a daily balance of investments. This series is no longer created.

**Disposition:** Temporary. Retire to the Washington National Records Center when 4 years old. Destroy when 20 years old.

**Office of Finance - Capital Markets Division, cont.**

**Item 1.6. Portfolio Reports** - Computer-generated reports reflecting the investment activities of the 12 Banks, market predictions, and comparisons of predicted future activities. This series is no longer created.

Disposition: Temporary. Destroy when 7 years old.

**Item 1.7. General Correspondence** - Letters created by and received from the former Investment Division of the Federal Home Loan Bank Board. This series is no longer created.

Disposition: Temporary. Destroy January 1, 1997.

**Office of Finance - Policy, Planning, and Structure Division**

**Item 2.1. Credit Reports** - a monthly compilation of credit reports for commercial banks, which are sent to the FHLBanks.

**Disposition:** Temporary. Cut off annually. Destroy when one year old.

**Item 2.2. Financial Strategy Books** - A monthly report to the 12 FHLBanks consisting of a compilation of current market information: unemployment rate, consumer lending rate, and other economic information. This series is no longer created.

**Disposition:** Temporary. Cut off annually. Retire to the Washington National Records Center when 4 years old. Destroy when 7 years old.

## **Office of Finance - Executive Office**

**Item 3.1. General Correspondence** - This series documents budget, regulatory and policy making information, and other substantive information between the Office of Finance and the headquarters of the Federal Housing Finance Board.

**Disposition:** Permanent. Cut off annually. Transfer to the National Archives in 5 year blocks when most recent record is 5 years old.

Annual accumulation: 2 cubic feet

Arrangement: chronological

**Item 3.2. FHLBanks Individual Bank's Annual Reports** - An annual report is published by each FHLBank and sent to the Office of Finance for reference purposes.

**Disposition:** Temporary. Destroy when 3 years old or when all administrative use has ended, whichever is later.

## **Office of Finance - Administrative Services and Special Projects Division**

**Item 4.1. Travel Files** - Travel records of the Office of Finance staff, including the Managing Director.

**Disposition:** Temporary. Cut off annually. Retire to the Washington National Records Center when 2 years old. Destroy when 7 years old.

**Item 4.2. General Vendor Files** - Files of bills that have been paid.

**Disposition:** Temporary. Cut off annually. Retire to the Washington National Records Center when 2 years old. Destroy when 7 years old.

**Item 4.3. Audit Report of Imprest Fund** - Annual audit of the budget of the Office of Finance.

**Disposition:** Temporary. Cut off annually. Retire to the Washington National Records Center when 4 years old. Destroy when 7 years old.

**Item 4.4. Office of Finance Payroll Reports** - The payroll reports include payroll tax records, time reports, attendance reports, and other records pertaining to payroll.

**Disposition:** Temporary. Cut off annually. Retire to the Washington National Records Center when 10 years old. Destroy when 20 years old.

**Item 4.5. Office of Finance Personnel Files** - The personnel files include resumes, evaluations, and other records pertaining to personnel.

**Disposition:** Temporary. Destroy 10 years after end of term of employment.

**Item 4.6. Agenda Books** - This series consists of the workpapers to the monthly agenda to the monthly meetings of the Board of the Office of Finance.

**Disposition:** Temporary. Cut off annually. Retire to the Washington National Records Center when 4 years old. Destroy when 7 years old.

**Item 4.7. Board Minutes** - The minutes of the Board discuss regulations, goals and objectives (business plan), and other official administrative information. Record created since May 1992.

**Disposition:** Permanent. Transfer to the National Archives in 5 year blocks when most recent record is 5 years old.

Volume on hand: 24 volumes.

Annual accumulation: 2 to 3 cubic feet

Arrangement: Chronological.

**Office of Finance - Administrative Services and Special Projects Division, cont.**

**Item 4.8.** Audit Reports of Financing Corporation (FICO) - Annual audits and financial statements of the Financing Corporation.

Disposition: Temporary. Cut off annually. Retire to the Washington National Records Center when 4 years old. Destroy when 7 years old.

**Item 4.9.** Vendor Records for FICO - General ledger book, payable log: disbursements, journal entries, bank reconciliations, financial statements, and other general administrative records.

Disposition: Temporary. Cut off annually. Retire to the Washington National Records Center when 4 years old. Destroy when 7 years old.

**Item 4.10.** Audit Reports of the Resolution Funding Corporation (REFCORP) - Annual audits and financial statements of the Resolution Funding Corporation.

Disposition: Temporary. Cut off annually. Retire to the Washington National Records Center when 4 years old. Destroy when 7 years old.

**Item 4.11.** Vendor Records for the Resolution Funding Corporation - General ledger book, payable log: disbursements, journal entries, bank reconciliations, financial statements, and other general administrative records.

Disposition: Temporary. Cut off annually. Retire to the Washington National Records Center when 4 years old. Destroy when 7 years old.

**Item 4.12.** Minutes of FICO's President's Executive Finance Committee - Monthly meeting minutes. This record is no longer created.

Disposition: Temporary. Retire to the Washington National Records Center when 5 years old. Destroy when 10 years old.

**Item 4.13.** FICO General Administrative Files - General administrative correspondence and memoranda.

Disposition: Temporary. Cut off annually. Retire to the Washington National Records Center when 7 years old. Destroy January 1, 2026.

**Item 4.14.** FICO Minutes - Minutes of the Financing Corporation.

Disposition: Permanent. Cut off annually. Transfer to the National Archives in 5 year blocks when most recent record is 5 years old.

Annual accumulation: 1 cubic foot      Arrangement: Chronological.

**Office of Finance - Administrative Services and Special Projects Division, cont.**

**Item 4.15. REFCORP General Administrative Files** - General administrative correspondence and memoranda.

**Disposition:** Temporary. Cut off annually. Retire to the Washington National Records Center when 7 years old. Destroy January 1, 2031.

**Item 4.16. REFCORP Minutes** - Minutes of the Resolution Funding Corporation.

**Disposition:** Permanent. Cut off annually. Transfer to the National Archives in 5 year blocks when most recent record is 5 years old.

Annual accumulation: 1 cubic foot

Arrangement: Chronological.

**Item 4.17. Office of Finance Goals and Objectives** - Includes any new goals and objectives issued by the headquarters office of the Federal Housing Finance Board and by the Managing Director of the Office of Finance.

**Disposition:** Permanent. Cut off annually. Transfer to the National Archives in 5 year blocks when most recent record is 5 years old.

Annual accumulation: 1 cubic foot

Arrangement: chronological



**Office of Finance - Fiscal Services Division (formerly: Financial Operations Division)**

**Item 5.1. FHLBanks Consolidated Obligations Issue Files** - These records document the debt issued and outstanding.

**Disposition:** Temporary. Retire to the Washington National Records Center after maturity of obligations. Destroy 10 years after maturity.

**Item 5.2. FHLBanks Discount Note Trade Sheets** - These records document one of the several types of financial transactions conducted.

**Disposition:** Temporary. Retire to the Washington National Records Center after maturity of discount note. Destroy 10 years after maturity.

**Item 5.3 Securities and Funds Electronic Wire Transfer Messages - Incoming and Outgoing Wire Sheets** - Documentation of funds wired by the Office of Finance to and from the Federal Reserve.

**Disposition:** Temporary. Cut off annually. Retire to the Washington National Records Center when 4 years old. Destroy when 10 years old.

**Item 5.4. Confirmation Notices** - Confirmations of structured transactions, competitive bids and bond sales provided by the dealers.

**Disposition:** Temporary. Retire to the Washington National Records Center after maturity of transaction. Destroy 10 years after maturity.

**Item 5.5. Offering Notices** - Record created by the Office's legal counsel to let Fiscal Services Division know that a transaction has been completed.

**Disposition:** Temporary. Retire to the Washington National Records Center 3 years after maturity date. Destroy 10 years after maturity.

**Item 5.6. Dealer Term Sheet** - These records document the transactions for competitive bids and structured transactions.

**Disposition:** Temporary. Retire to the Washington National Records Center after maturity of transaction. Destroy 10 years after maturity.

**Office of Finance - Information Technology (formerly: Information Management Division)**

**Item 6.1. Fundtrac Daily & Monthly Reports** - Reports reflecting the activity of investments for the day/month generated by the Investment Division (dissolved in 1992). This series is on microfiche. This series is no longer created.

Disposition: Temporary. Retire to the Washington National Records Center when 2 years old. Destroy when 7 years old.

**Item 6.2. System Backups** - Office of Finance records stored on the Federal Home Loan Bank of New York computer are backed up daily, weekly, monthly, and annually. This process will be discontinued in September 1994.

Disposition: Temporary. Monthly backups are maintained on-site in New York for one year. Annual backups are maintained on-site in New York for seven years.

**Item 6.3. Network Backups** - Local Area Network (LAN) for the Office of Finance consists of all activity generated on the personal computers for day to day operations.

Disposition: Maintained off premises by a local bank in a safety deposit box. The LAN is backed up weekly, monthly, and annually. The information is stored on 120 MB cartridges.

Attachment to N1-485-91-1: List of series stored at the Washington National Records Center,  
with corresponding accession and box numbers.

Please see attached.

<u>ACCESSION NUMBER</u>	<u>SERIES DESCRIPTION</u>	<u>BOXES</u>	<u>ITEM #</u>
485-92-0001	Inv Div Portfolio Records	1-32	1.6
485-92-0002	PCORP Imprest/Vendor	1-3	4.2
485-92-0003	PCORP Imprest/Vendor	1-3	4.2
485-92-0004	PCORP Imprest/Vendor	1-4	4.2
485-92-0005	Finance/Imprest	1-7	4.2
485-92-0006	PCORP/Imprest/Budget	1-2	4.2
485-92-0007	PCORP/Imprest/Vendors	1-12	4.2
485-92-0008	PCOR/Imprest Assessments	1-2	4.2
485-92-0009	FICO/Vendor/Bk Stmnts	1-2	4.9
485-92-0010	ORA/Imprest/Vendor	1-3	4.2
485-92-0011	ORA/Imprest/Vendor/chcks	1-6	4.2
485-92-0012	ORA/Imprest/Vendor	1-21	4.2
485-92-0013	ORA/Imprest/Vendor	1-11	4.2
485-92-0014	IMD-Sec & Funds Transfr Msgs	1-11	6.1
485-92-0015	“ “	1-6	6.1
485-92-0016	“ “	1-6	6.1
485-92-0017	“ “	1-12	6.1
485-92-0018	“ “	1-5	6.1
485-92-0019	“ “	1-4	6.1
485-93-0020	Inv Div/ Portfolio Cash Sheets	1-17	1.5
485-93-0021	“ “	1-10	1.5
485-93-0022	“ “	1-17	1.5
485-93-0023	ORA/Employee Info/Vendor	1-11	4.2
485-93-0024	PCORP/Payroll/Vendor	1-4	4.4
485-93-0025	FICO/Vendor/Bnk Recon/Stmnts	1-4	4.9
485-93-0026	ORA/Imprest/Vendor/Reports	1-21	4.2
485-93-0027	ORA/Imprest/Bank Info/Assess	1-1	4.2
485-93-0028	ORA/Imprest/Travel/Vendor	1-9	4.1
485-93-0029	Finance/Imprest/Vendor	1-10	4.2
485-93-0030	“ “	1-14	4.2
485-93-0031	“ “	1-12	4.2
485-93-0032	“ “	1-13	4.2
485-93-0033	“ “	1-8	4.2
485-93-0034	FICO/Vendor/chcks	1-1	4.9
485-93-0035	FICO/Mgmt Repts/disbursements	1-1	4.9
485-93-0036	FICO/Unaudited Fncl Stmnts	1-5	4.9
485-93-0037	FICO/Mgmt & Acctng reports	1-5	4.9
485-93-0038	Fincl Operations/daily work sheets	1-9	5.2
487-93-0039	“ “	1-25	5.2
485-93-0040	REFCO/Vendor/cncl'd chcks	1-2	4.11

485-93-0041	REFCO/Vendor/bnk stmnts	1-34	4.11
485-93-0042	Finance/Fiche FTC/FGBN futures	1-6	4.11
485-93-0043	“ “	1-3	4.11
485-93-0044	“ “	1-3	4.11
485-93-0045	“ “	1-1	4.11
485-93-0046	PCORP/Imprest/Taxes/Contracts	1-1	4.2
485-93-0047	PCORP/Unemploy/Taxes/Insurance	1-1	4.4
485-93-0048	PCORP/Personnel/Tuition/Payroll	1-1	4.4
485-93-0049	PCORP/Payroll/Taxes/Budget	1-1	4.4
485-93-0050	PCORP/Budget/Sub Income	1-1	4.2
485-93-0051	Finance/Taxes/FedFica/Insurance	1-1	4.4
485-93-0052	Finance/Payroll Info.	1-3	4.4
485-93-0053	Finance/Thrift/Unemploy/W2s	1-2	4.4
485-93-0054	Finance/Unemploy/Bdgs/Thrift	1-2	4.4
485-93-0055	Finance/Retirement/Term/Thrift	1-3	4.4
485-93-0056	Finance/FedFica/Salaries/Taxes	1-3	4.4
485-93-0057	Finance/Payroll changes	1-3	4.4
485-93-0058	Finance/Thrift/Payroll/Cred Union	1-3	4.4