

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-053-06-007

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 11/13/2024

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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

Items 1-13, 16 & 19-20

SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

Items 14 & 15 superseded by DAA-0425-2024-0002-0002

Items 17 & 18 superseded by DAA-0425-2024-0002-0001

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)	
NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	
1. FROM (Agency or establishment) BUREAU OF THE PUBLIC DEBT	
2. MAJOR SUBDIVISION Wholesale Security Services	
3. MINOR SUBDIVISION	
4. NAME OF PERSON WITH WHOM TO CONFER Robert Konz	
5. TELEPHONE (304) 480-8186 Robert.konz@bpd.treas.gov	

LEAVE BLANK (NARA use only)	
JOB NUMBER 71-053-06-7	
DATE RECEIVED 6-17-2006	
NOTIFICATION TO AGENCY In accordance with provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
DATE 8/21/07	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>

6. AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 6 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 7/11/06	SIGNATURE OF AGENCY REPRESENTATIVE <i>Vicki L. Thorpe</i> Vicki Thorpe	TITLE Records Officer Reviewed by Office of the Chief Counsel
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See the Attached Sheets		
	<i>All copies sent to Agency, NWMD, NWMWA, NWCTC, NR</i>		

SCHEDULE IS MEDIA NEUTRAL

REQUEST FOR RECORDS DISPOSITION AUTHORITY

For the Bureau of the Public Debt

June 26, 2006

7. ITEM NO. N1-53-06-D-	8. DESCRIPTION OF ITEM and PROPOSED DISPOSITION Category No Title and description		Proposed Disposition	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
0001	1101.01	Issue Folders - These folders are used to verify that each step of the announcement/auction/issue process was performed correctly. Although these folders occasionally have copies of tender and bid data from the automated systems, most of the items contained in these folders reflect summary information related to the announcement/auction/issue process. These folders include documents related to the announcement, auction, and allotment of securities. These documents display evidence that Public Debt issued securities to the public to finance the public debt.	Disposition Rule # 1523 Cutoff at end of fiscal year and completion of GAO audit. Destroy 7 years after issue date.	N1-53-05-02, 0010	
0002	1102.01	Submitter Agreements - These documents are legal agreements between The Bureau of the Public Debt and financial institutions submitting auction bids in the commercial process of investing in treasury bonds, notes, or bills. According to the regulations, the submitter agreements are submitted annually. They contain information such as the commercial customers' address, primary approving officer's information, ABA number, and email addresses for award notices and tender submissions. They grant access for institutional employees to TAAPSLink.	Disposition Rule # 1405 Cutoff at the end of the calendar year. Destroy 5 years after the cutoff.	N1-53-05-02, 0008	
0003	1103.01	Authorizations to Receive Allotment Notices - These documents allow the Office of Financing the right to send award notice information from the Treasury auction process to the commercial customer. The Office of Financing informs the commercial customer of the amount of the security and the accumulative security totals. The document contains the commercial customer's address, primary approving officer information, and the Fedline terminal information.	Disposition Rule # 1410 Cutoff files at the end of the calendar year. Destroy 25 years after cutoff.	N1-53-05-02, 0001	
0004	1104.01	FRB Comparative Report of Volume and Expense - These are reports showing summary information grouped by FRB district of volume of work and expenses incurred while doing business for the Bureau of the Public Debt as fiscal agents of the United States. This report was formerly used to determine the reimbursement to the Federal Reserve Banks. The report charts monthly and year-to-date expenditures covering transactions handled by the Federal Reserve Banks and	Disposition Rule # 3109 Destroy the current records at the end of CY 2009.	N1-53-05-02, 0006	

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		<p>branches. It displays evidence of the issuance, retirement, and redemption of Treasury securities by the Federal Reserve Banks on behalf of the Bureau of the Public Debt.</p> <p>These records are not accumulated as part of the current business. <i>Destroy the current records at the end of CY 2009 and remove this item from the schedule.</i> There is one cubic foot of records from 1954 through 1984.</p>			
0005	1105.01	<p>Government, Corporate, and Agencies Securities Case Files - The document is an issue folder for agency securities issued by various government and quasi-government entities. The folders are used to document each step of the announcement/auction/issue process. These folders contain summary information related to the announcement/auction/issue process. The documents display evidence that Public Debt's responsibility was to account for debt issued by other Government agencies.</p> <p>These records are not accumulated as part of the current business. <i>Destroy the current records at the end of CY 2009 and remove this item from the schedule.</i> There is one cubic foot of records from 1934 through 1966.</p>	<p>Disposition Rule # 3109 Destroy the current records at the end of CY 2009.</p>	N1-53-05-02, 0007	
0006	1201.01	<p>Buyback Folders - The buyback folder records the process Public Debt uses to purchase marketable securities from current security holders. The folders include announcements, press releases, and analysis relating to the operation, as well as copies of offers located in automated systems.</p>	<p>Disposition Rule # 1408 Cutoff at end of calendar year. Destroy 10 years after cutoff.</p>	N1-53-05-02, 0009	
0007	1202.01	<p>Foreign Series - These folders include documents authorizing the sale, issue, and redemption of securities by foreign governments and central banks. The security denominations may be in U.S. currency or other government's currency such as Deutsche Marks. Included in the folder are correspondence, press releases, memos, and other documents authorizing auctions of the securities. These documents are the only evidence of the issuance of U.S. securities issued in foreign currency.</p> <p>These records are not accumulated as part of the current business. There is one cubic foot of records from 1962 through 1979 of authorizations to foreign governments; one cubic foot of records from 1978 through 1983 of denominations</p>	<p>Disposition Rule # 3107 Cut off files at maturity date. Destroy 7 years after cutoff.</p>	N1-53-05-02, 0005	

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7. ITEM NO. N1-53-06-D-	8. DESCRIPTION OF ITEM and PROPOSED DISPOSITION. Category No Title and Description		Disposition	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
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0008	1301.01	<p>in foreign currency; and one cubic foot of records from 1961 through 1981 of issues/redemptions by foreign governments.</p> <p>Auction Violation Files - Effecting Policy - These documents and files relate to a serious violation of Treasury security auction rules or regulations. The files contain all the information on how the violation occurred and include correspondence, internal memos, research documents and chronology events concerning the violation. Documents of this nature have value to the public due to the wide publicity and are historical because of the change to the auction process. Violations of this nature result in an entire rethinking of the auction process and result in major changes that affected the entire market.</p> <p>An example of a serious violation was the Salomon Brothers case on February 21, 1991. The violation was so serious that Congress and the SEC became involved.</p>	<p>Disposition Rule # 3303 Permanent. Cutoff when complete, closed, settled, expired, or final action is complete. Retain in office for 10 years after cutoff. Transfer to NARA 25 years after cutoff.</p>	N1-53-05-02, 0002	
0009	1302.01	<p>Auction Violation Files - Compliance - The auction violations are filed by cases including investigation notes, correspondence, audits, and press releases or articles in the financial press related to the violations. The violations are serious enough to require a letter from Treasury to the President or CEO of each firm that documents the violation and in some cases asks for additional information or internal reviews or audits. If needed, Treasury will conduct an investigation of the incident and report their findings to senior management at Public Debt and the Treasury Department.</p> <p>The documents are used to gather information on the violation to determine the best corrective course of action. Public Debt is required to report all material violations to Congress on an annual basis and these documents are used as a base in the development of this annual report. A letter outlining the violations for the year is also sent to the Speaker of the House and the President of the Senate.</p> <p>For the most part, each incident is a single event. In some cases where there are multiple violations by a firm in a short period of time, the number of violations could determine what corrective</p>	<p>Disposition Rule # 3302 Cutoff when complete, closed, settled, expired, or final action is complete. Retain in office for 7 years after cutoff. Destroy 25 years after cutoff.</p>	N1-53-05-02, 0003	

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	<p>action is needed.</p> <p>These files need to be maintained since the information is used to send Annual Reports to Congress. The Annual Reports to Congress are also sent to the SEC and there have been further investigations by the SEC that have resulted in fines and other disciplinary actions. They also are needed for reference in case future similar violations occur by the offending firm or another firm.</p>			
0010	<p>1303.01</p> <p>Compliance Auction Visits - These documents relate to visits to large auction participants and include correspondence, information to prepare for the visits, visit notes, verification of the calculation for the auction NLP (Net Long Position), reports to senior management, and copies of the participant's internal controls and procedures.</p> <p>The visits are part of the voluntary compliance program for auctions and are an integral part of helping us educate the auction participants on the rules and the importance of having sound internal controls and procedures in place to prevent future violations. These visits stress the importance of senior management involvement at the firms and the exit conference is with the President of CEO or the firm.</p>	<p>Disposition Rule # 3301 Cutoff when complete, closed, settled, expired, or final action is complete. Retain in office for 5 years after cutoff. Destroy 15 years after cutoff.</p>	N1-53-05-02, 0004	
0011	<p>1401.01</p> <p>Transaction Files - These records document the transaction process by Treasury, Federal Reserve Bank, and private sector entity relating to the initial transfer or redemption of marketable Treasury Securities resulting from an auction.</p>	<p>Disposition Rule # 1401 Cutoff files at end of the calendar year. Destroy records 7 years after issue date.</p>		
0012	<p>1402.01</p> <p>Payment Documents - These records document the transaction process by Public Debt or its agent relating to the payment process of marketable Treasury Securities resulting from an auction.</p>	<p>Disposition Rule # 1511 Cutoff at end of fiscal year. Destroy 7 years after cutoff.</p>		
0013	<p>1403.01</p> <p>Accounting Operations - These records document the function pertaining to the maintenance of accounts, including balancing adjustments, reconciling, and reporting of the maintenance process for transaction and payment files.</p>	<p>Disposition Rule # 1511 Cutoff at end of fiscal year. Destroy 7 years after cutoff.</p>		
0014	<p>1501.01</p> <p>General Program Information - These are temporary records that document the features, operations, guidance, and rules of the program. The programs include but are not limited to the</p>	<p>Disposition Rule # 1602 Cutoff in 5-year intervals. Retain 10 years in the office after cutoff. Destroy</p>	N1-53-03-02, Items 0001, 0007, 0014, 0018	

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	Government Securities Act Regulations Program, Collateral Acceptability and Valuation Program, Uniform Offering Circular / Auction Rules Program, and Debt Buyback Program. The documents include, but are not limited to, handwritten notes; drafts; emails; press release issues; graphs; task lists; project plans; research files; general program documents; internal reviews; on-site reviews; circulars; reports; policy drafts; procedure reports; violation reports; error proposals and policy; auction models; single bidders certifications; correspondence; reports; working group files; drafts; audit; qualification and confirmation requirements; bank examination procedures and materials; conference training materials; arbitrations, settlements, and agreements; compliance documents; and enforcement and regulatory actions.	25 years after cutoff.		
0015	1502.01 Important Data Files – These are permanent records that document the establishment and history of the Government Securities Act Regulations Program, Collateral Acceptability and Valuation Program, Uniform Offering Circular / Auction Rules Program, and Debt Buyback Program. – The documents include, but are not limited to, working group records; reports; research interviews; studies; briefing materials; conference & speaking engagement records; meeting agendas and minutes; correspondence; press releases and Federal Register notices; Large Position Reporting amendments, notes, and original letters; rules and amendments; auction guidelines; information on inflation-index securities; STRIPS Program information; regulatory issues; oral inquiries; auction interpretations; commercial loan reviews; project files; circulars; studies; histories; summaries; regulations; informational memos; action memos; decision and discussion documents, presentation documents, and emails.	Disposition Rule # 1603 Permanent. Cutoff in 5-year intervals. Transfer to NARA 30 years after cutoff.	N1-53-03-02, Items 0002, 0008, 0015, 0019	
0016	1503.01 Press/Media Coverage - These documents include, but are not limited to, various articles from newspapers, magazines, and other financial industry publications.	Disposition Rule # 1601 Cutoff in 5-year intervals. Retain 5 years in the office after cutoff. Destroy 10 years after cutoff.	N1-53-03-02, Items 0003, 0009, 0016, 0020	
0017	1504.01 Proposed Regulations – These documents include, but are not limited to, proposed rulemaking for Debt Buyback, Collateral Acceptability and Valuation Program, auction regulations, and	Disposition Rule # 1602 Cutoff in 5-year intervals. Retain 10 years in the office after cutoff. Destroy	N1-53-03-02, Items 0004, 0010, 0021	

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7. ITEM NO. N1-53-06-D-	8. DESCRIPTION OF ITEM and PROPOSED DISPOSITION. Category No Title and Description	Disposition	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
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		Government Securities Act Regulations Program. These are records associated with proposing and finalizing regulations. They include, but are not limited to, informational memos, draft memos, proposed rules strategies, working papers, reports, and comments on proposals used in creating the regulations governing various programs.	25 years after cutoff.	
0018	1505.01	Regulations & Public Comment – These documents include, but are not limited to, final rulemaking for Debt Buyback, Collateral Acceptability and Valuation Program, auction regulations, and Government Securities Act Regulations Program. Included are final drafts and edits, interpretations of rules, meeting notices, final rules, signed copies of the final rules, the signed proposed rules, public comment letters on the proposed rules, and signature packages of the approval documentation of Final Rules. These are permanent records that in combination with the announcements, set out the specific terms and conditions by which the public may participate in a specific operation. The comments and final rules are permanent records associated with 31 CFR Part 380 as implemented by the Bureau of Public Debt. The documents support the action of the final rule.	Disposition Rule # 1603 Permanent. Cutoff in 5-year intervals. Transfer to NARA 30 years after cutoff.	N1-53-03-02, Items 0005, 0011, 0017, 0022
0019	1506.01	Testimony - These documents include, but are not limited to, testimonies provided at Congressional hearings by financial and securities market participants and the Treasury Department.	Disposition Rule # 1602 Cutoff in 5-year intervals. Retain 10 years in the office after cutoff. Destroy 25 years after cutoff.	N1-53-03-02, Items 0006, 0012, 0023
0020	1507.01	Legislation - These are permanent records that include, but are not limited to, congressional responses to legislation, reauthorization legislative testimonies, proposals dealing with the Government Securities Act of 1986, and legislative proposals affecting the determination of acceptable collateral.	Disposition Rule # 1603 Permanent. Cutoff in 5-year intervals. Transfer to NARA 30 years after cutoff.	N1-53-03-02, Items 0013, and 0024,